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ABSTRACT

The 14 papers in this compilation focus on library collections and services: (1) "Retrospective Conversion and Its Significance for Inter-Library Loan" (Rudolf Frankenberger, Germany); (2) "Inter-Library Loan Traffic in the South West Pacific and South East Asia" (Beth Stone, Australia); (3) "The Inter-Library Loan Scene in Australia: 1988" (F. C. A. Exon, Australia); (4) "Decentralising National Acquisition Policies--Illustrations from European Countries" (Joachim-Felix Leonhard, West Germany); (5) "Differential Pricing in the International Book Market" (Ulrich Montag, West Germany); (6) "ACPAD (Australian Centre for Publications Acquired for Development)--An Australian Contribution to Library Development in Southeast Asia and the Pacific" (Prue Watters, Australia); (7) "Australiana and Canadiana: The Exile Narratives" (Richard Landon, Canada); (8) "South Pacific Books and the Concept of Rarity" (Sharon Dell, New Zealand); (9) "The Future for Rare Books Collections in Australia" (Trevor Mills, Australia); (10) "Selection and Acquisition of Serials: The Impact of the New Technology" (David Toll, Australia); (11) "'What Is That Hyphen Doing Anyway?' Cataloguing and Classification of Serials and the New Technologies" (Philip Bryant, United Kingdom); (12) "Reference and Public Service Activities for Serial Publications at the National Library of New Zealand" (Christel McClare, New Zealand); (13) "The Application of New Technologies to the Dissemination of Governmental Information--The PAHO (Pan American Health Organization) CD-ROM Project" (Ana Flavia DaFonseca); and (14) "New Technologies and Government Publications" (Forrest Williams, United States). (CGD)

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Division of Collections and Services

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Inter-library loan traffic in the South West Pacific and South East Asia *(58-INTL-2-E)*	Beth Stone, National Library of Australia, Canberra, ACT, Australia
The inter-library loan scene in Australia: 1988 *(59-INTL-3-E)*	F.C.A. Exon, Research and Development Librarian, Curtin University of Technology, Perth, Western Australia

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RETROSPECTIVE CONVERSION AND ITS SIGNIFICANCE FOR INTERLIBRARY LOAN

Rudolf Frankenberger, *Universitätsbibliothek Augsburg, Bundesrepublik Deutschland*

ABSTRACT

In recent years intensified research has been done on the 15th through 18th centuries. The demand for old literature has increased. In contrast to such an apparent need for old books, the document search and delivery system has neither the quantitative nor the qualitative standard required by research workers in the Federal Republic of Germany. The Library Committee of the German Research Society therefore supports the speedy conversion of good conventional catalogues using also outside data and previous work. The catalogues compiled in this way are of great significance to ILL. The supraregional document location is an instrument of ILL management. It also offers the possibility of preparing research and library expeditions, gives a survey of the national literary heritage and may serve as a tool for specific search.

A study by Bernhard Fabian called "Buch, Bibliothek und geisteswissenschaftliche Forschung" (1983)[1] and the Trier Congress of Librarians (1985) having as its main subject "Document Supply in the Humanities"[2] made a wide library public aware of the problem of supplying the needed materials in an appropriate manner and in good time, especially in subjects like history, German studies, theology and philosophy. Since then the inadequate system of cataloguing old literature has been intensively discussed bringing into focus the "old book" itself with its manifold problems of circulation, ILL, conservation and bibliographic recording.[3] As IFLA programmes, the subjects of international conferences and the activities of many countries show, this trend is not limited to the Federal Republic of Germany but a matter of international interest. That is encouraging enough for me to survey the state of the discussion in the Federal Republic of Germany.

The different branches of science need old literature to a different extent but all of them need it. The most urgent need is to be found with the humanities, especially the historical disciplines which have no limitations as to the age of the documents searched for. Written records, the primary sources are in fact the main research instruments for the historian. However, natural and social scientists are dependent on old literature, too, often investigating subjects in a historical context. It becomes evident that old books are not being used by one branch of science only.

In recent years intensified research has been done on the 15th through 18th centuries. The renaissance and baroque ages, until now rather neglected, have suddenly become central subjects of research activities. More and more scientific disciplines have developed historical approaches to their subjects of study. The demand for old literature has increased and documents like old dissertations, occasional and personal writings scarcely noticed for a long time, are paid great attention now.

The urgent need for old literature is shown in a study on supraregional ILL by Werner Kratsch[4] published in 1983. The study also shows how inadequately these needs are met by local resources. The investigation included all ILL requests placed during one week except those for medical, scientific and technological literature.

The result was as follows:

Request for in %	title
4,5	before 1801
11,2	between 1801 and 1900
22,8	between 1901 and 1945

A projection onto 52 weeks will result in an annual request rate of 34000 publications before 1800, 85600 books of the 19th century and 174000 documents published between 1901 and 1945. Moreover, these are data of the year 1979 and the demand for old literature has rather increased since then.

In contrast to such an apparent need for old books, the document search and delivery system has neither the quantitative nor the qualitative standard required by research workers in the Federal Republic of Germany. In fact, German research libraries are very rich in old literature but the state of cataloguing and the possibilities of supraregional search are very poor with these holdings.

The German Research Society (DFG) is tackling the problem now after having made every effort to optimize the search and location system within the supraregional document delivery in recent years. A start was made by recording the old literature catalogues of the Bavarian State Library in Munich (up to 1840) and of the State and University Library of Gottingen (up to 1945) in a machine-readable format.[5] In carrying out this project much experience was gained and an initial database for systematic recording of old literature was created. Now there are four more DFG projects along these lines and, besides, a plan for a census of incunables held by West German libraries. A "List of 16th Century Printed Materials Published in German-Speaking Countries" is being worked on. Taken altogether, a full-scale system of old book cataloguing is developing in FRG.

The principles of recording old literature defined by the DFG Library Committee are as follows:

- economical solution
- usefulness for the document supply to research workers
- usefulness for as many libraries as possible
- recording of old documents between 1501 and 1850
- previous work and outside data are to be made use of
- technical and library standards have to be definitely set up and obeyed
- supraregional search and location of old literature must be possible, with serials and monographs listed separately
- choosing a partner, libraries with large old book collections and good cataloguing quality should be preferred
- the DFG recommendations of March 1986 on further development of library systems including local networks have to be observed.[6]

Several methods are theoretically possible:

- new cataloguing upon re-examination of each document
- conversion of already existing catalogues
- using outside data in the form of a catalogue, a bibliography or an inventory, in a conventional or machine-readable way, either for the whole collection or just for a part of it.

Taking all these principles into consideration the DFG Library Committee decided in favour of the conversion method which has to put up with the amount of information contained in the conventional catalogues. Taking into account certain quality features of the conventional catalogues and keeping to the current standards of bibliographic description, it is possible to create a machine-readable catalogue of monographs which will form, together with other catalogues, a supraregional location system and which will serve, in a local environment, as a users' online catalogue and, with some limitations, as a cataloguing aid for other libraries.

The DFG Library Committee is, of course, fully aware of the fact that such a method means a certain reduction in cataloguing quality. But the Committee knows too that a central catalogue consisting of converted single catalogues would be a considerable improvement as compared with the present situation.

A compromise solution of combining conversion with document re-examination has been also thoroughly discussed. After carrying out the conversion, those documents whose bibliographic records are too short or inaccurate should be re-examined and the records correspondingly completed. But even this method seems to take too much time and money so it is rather unrealistic. If need be, additional catalogue improvements can be made by individual libraries.

Another project is funded by the Volkswagenwerk Foundation: the Herzog August Library in Wolfenbuttel is cataloguing its old book collection. These entries, too, will be included in a national union catalogue of old books.

An interesting experiment has been done by Deutsches Bibliotheks-institut (DBI) in Berlin exploring the possibility of a cooperation with the Online Computer Library Center (OCLC) in the USA to obtain an effective database for making traditional catalogue entries machine-readable.[7] In order to test the economicalness of this method (above all the time needed for reformatting one entry) the DBI examined 7 West German research libraries in May 1986. Each library made a random selection of 1000 titles from the author catalogue. DBI converted these data into a machine-readable format and created the corresponding matchcodes for the database search. In carrying out the "Retrocon" projects, the OCLC has had a good experience with such matchcodes for several years now. Those entries which were not found in the German database by the matchcode were afterwards searched for in the US database. The results are shown in the following tables.

The test shows quite clearly that 58% of the necessary data can be supplied by the German Union Catalogue; and at least 32% of the remaining entries can be retrieved from the OCLC. Using both databases, the hit rate amounts to at least 72%. This is an encouraging result. Of course, several problems concerning data formats, cataloguing rules and also some legal issues have still to be solved.

The main objectives of the bibliographic recording of old books are:

Fig. 1: Number of hits in the OCLC database

Treffer im OCLC

Bibliotheksname	1 eindeutiger Treffer: richtig	2 eindeutiger Treffer: mit Überarbeitung	3 eindeutiger Treffer: nicht der gewünschte Titel	4 eindeutiger Treffer: Treffer nach Recherche	5 mehrere Treffer: einer richtig	6 mehrere Treffer: einer mit Überarbeitung	7 mehrere Treffer: keiner richtig	8 kein Treffer
Düsseldorf	283	125	20		38	63	34	415
Essen	291	149	22		73	75	38	353
FU-Berlin	120	202	30		39	80	53	370
Heidelberg	218	104	18		37	32	20	505
Staatsbibliothek-Berlin	185	133	21		28	60	37	484
TU-Berlin	187	147	42		49	84	84	377
Tübingen	328	128	15		99	40	28	451
Summe	1.572	988	168		361	414	295	3.055

Fig. 2: Number of hits in the German Union Catalogue

Treffer im VK

Bibliotheksname	1 eindeutiger Treffer: richtig	2 eindeutiger Treffer: mit Überarbeitung	3 eindeutiger Treffer: nicht der gewünschte Titel	4 eindeutiger Treffer: Treffer nach Recherche	5 mehrere Treffer: einer richtig	6 mehrere Treffer: einer mit Überarbeitung	7 mehrere Treffer: keiner richtig	8 kein Treffer
Düsseldorf	143	58	9	183	218	27	14	328
Essen	327	8	2	250	409	2	1	2
FU-Berlin	131	15	17	188	179	8	19	339
Heidelberg	162	18	14	81	141	4	19	595
Staatsbibliothek-Berlin	108	37	9	129	98	33	24	492
TU-Berlin	147	28	9	159	158	18	34	381
Tübingen	204	12	8	138	131	4	14	583
Summe	1.220	172	66	1.128	1.332	92	125	2.720

1. Locating function
   Supraregional location of old monographs serves as an instrument for the proper management of ILL requests indicating which document is possessed by which library. Direct mailing of requests (in keeping with ILL regulations, of course) is possible and unnecessary delays of ILL requests going through several central catalogues are avoided.
   Such a location instrument may also serve to prepare exploring or library expeditions. This trend will even grow stronger in future since it will not be possible, for preservation reasons, to mail every book requested on ILL to another library.
   The conflict between collection use and preservation, as Morris Line put it in Brighton, can be resolved by the possibility of locating all existing secondary forms (paper photocopies, reprints, facsimiles, microfiches, microfilms, video discs) besides the original document, on the model of the RLIN network in the USA. The listing of all duplicates is very useful, indeed, because requests for old literature indicate, as a rule, not an interest in old books but a need for old texts.
2. Cataloguing function
   As already mentioned above, old literature conversion may also serve as an aid for further retrospective conversion. In US libraries this concern even takes precedence over ILL. It need not be discussed here in more detail though.
3. Survey function
   A general catalogue of old literature improves the possibility of locating old books. In fact, it is only such a catalogue that can give a survey of all collections of old documents held by West German research libraries. Regional central catalogues will not do for this purpose. A general survey is necessary time and again for several reasons:
   — the researcher needs a bibliographic aid for individual search in order to find the works of an author, the editions of a work, books on a particular subject held by one or more libraries, and to find out the easiest way of obtaining them
   — the librarian often has to know how many copies of a work or of a particular edition are extant in order to estimate the value of a book. The answer to this question has some consequences for conservation and preservation and may result in placing the book in a special collection, security filming, microfiching, etc.
   — the bibliographer gets a general overview of German literature in library collections, which serves as a basis for both the retrospective national bibliography and the archiving of the nation's literary heritage
   — anyhow, bibliographic work with such a catalogue is much easier.
4. Search function
   Such an old literature catalogue may serve as an instrument for specific document search, both title- or subject-orientated. As a rule, the subject search will be limited to keywords because there is hardly any library with sufficient classification or indexing of its old literature collection.

The discussion of these objectives shows, indeed, the great influence of old book cataloguing on the interlibrary loan services. The libraries should enlist the ILL staff's help in formulating the

requirements for the old literature catalogue. Some additional categories might help avoid unnecessary work so that library users could receive the needed information much more quickly. In connection with the cataloguing of old books the question of their proper use is being much discussed, too. The Bavarian Library Network has worked out "Recommendations for the Treatment of Documents Worthy of Preservation in Interlibrary Loan" (see table below):

Fig. 3: Treatment of documents worth preserving in ILL

Nr.	Medien	nur in Bibliothek	nur in Sonderbereich mit Aufsicht	keine Direktkopie gestattet	Original nicht verleihbar (evt. Reprod.)
1.	Monographien und Zeitschriften 1800-1899	X		je nach Zustand und Wert	
2.	Monographien und Zeitschriften 1600-1799		X	X	
3.	Inkunabeln und frühe Drucke vor 1600			X	X
4.	Handschriften			X	X
5.	Seltene und/oder wertvolle Werke			X	X
6.	Sammelbände			je nach Zustand und Wert	X
7.	maschinenschriftl. o.ä. Werke	X		je nach Zustand	
8.	Zeitungen			X	X
9.	Außergewöhnl. Formate, Kleinschrifttum, Bildbände, ungebundene Werke	X			wenn Versand nur mit sehr hohem Aufwand oder Risiko möglich
10.	Loseblattausgaben, planliegende Karten				X
11.	Mikroformen an Stelle des Originals, s. aber Nr. 12	X			
12.	Mikroformen von Periodica	X			wenn sehr umfassend, sehr teuer oder nicht wiederbeschaffbar
13.	AV-Medien in ausleihbarer Form, z.B. Ton- u. Videokassetten, Compact Disks	X			
14.	AV-Medien mit erhöhter Beschädigungs- u. Verlustgefahr, z.B. Schallplatten, Dias				X

The Association of University Libraries is also concerned with this issue, pleading for standardized regulations. Library users should be instantly informed if the requested book or microform is expected to be for circulation or for reference only. For example, printed materials before 1600 may be circulated within ILL only as microforms; printed documents between 1600 and 1800 are for reference in the reading room only; works after 1800 are to be treated according to their condition, etc.

A team of experts suggested a charge of DM 5.- for each microfiche requested per ILL and taken home. But the user should also have the opportunity of borrowing the fiche at the local circulation desk or using it in the reading room only. In this case the requesting library will buy the fiche and lend it out to local users or it will just borrow it from the lending library and return it afterwards. All these issues are still under discussion.

As these problems are not national but international ones they have to be dealt with on the IFLA level, i.e in the IFLA section on interlending and document delivery. Main principles should be worked out in the near future.

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[2] Literaturversorgung in den Geisteswissenschaften / 75. Dt. Bibliothekartag in Trier 1985. Hrsg. von Rudolf Frankenberger u. Alexandra Habermann. — Frankfurt a.M.: Klostermann, 1986. (Zeitschrift fur Bibliothekswesen und Bibliographie: Sonderheft; 43)

[3] Vgl. dazu: Syré, Ludger: Altbestandserfassung in wissenschaftlichen Bibliotheken der Bundesrepublik Deutschland. (Im Auftr. d. Dt. Forschungsgemeinschaft erarb. Leiter: Richard Landwehrmeyer. Bearb.: Ludger Syre). — Berlin: DBI, 1987. (DBI-Materialien; 67)

Syré, Ludger: Retrospektive Konversion: theoret. u. prakt. Ansatze zur Uberfuhrung konventioneller Kataloge in maschinenlesbare Form in d. USA, Gro britannien u. d. Bundesrepublik Deutschland; (Unters. im Rahmen e. von d. Dt. Forschungsgemeinschaft geforderten Studie zur Altbestandserfassung). Leiter: Richard Landwehrmeyer. Bearb.: Ludger Syre. — Berlin: DBI, 1987. (DBI-Materialien; 66)

Die folgenden Ausführungen beziehen sich auf diese Untersuchungen, die der Bibliotheksausschuß der DFG in Auftrag gab:

[4] Kratsch, Werner: Untersuchung zur Struktur des Leihverkehrs der deutschen Bibliotheken (d. Unters. wurde als Projektstudie im Auftr. d. Dt. Forschungsgemeinschaft durchgefuhrt. Projektleiter: Richard Landwehrmeyer. Mitarb.: Anton Bauer . . .). — Berlin: Dt. Bibliotheksinst., 1983. (DBI-Materialien; 27)

[5] Vergl. Braun, Horst: Uberlegungen des Bibliotheksausschusses der Deutschen Forschungsgemeinschaft zur maschinenlesbaren Erfassung gedruckter Altbestände. In: 77. Deutscher Bibliothekartag in Augsburg 1987. Reden und Vortrage. S. 164–175. (Zeitschrift für Bibliothekswesen und Bibliographie. Sonderheft 46)

Braun, Horst: Altsbestandserfassung in wissenschaftlichen Bibliotheken der Bundesrepublik Deutschland einschlie lich Berlin (West). Positionspapier des Bibliotheksausschusses d. Dt. Forschungsgemeinschaft. (Zeitschrift fur Bibliothekswesen und Bibliographie. (1988), S. 51–59)

[6] Vorschläge der DFG zur Weiterentwicklung der Verbundsysteme unter Einbeziehung lokaler Netze. März 1986. In: Zeitschrift fur Bibliothekswesen und Bibliographie. 33 (1986), S. 205–215.

[7] Beyersdorff, Gunter: Weiterer Ausbau des Verbundkataloges — erste Erfahrungen aus einer Zusammenarbeit mit dem Online Computer Library Center (OCLC). In: 77. Deutscher Bibliothekartag in Augsburg 1987. Reden und Vortrage. Frankfurt a.M.: Klostermann 1988. S. 176–196. (Zeitschrift fur Bibliothekswesen und Bibliographie. Sonderheft 46)

58-INTL-2-E

INTERLIBRARY LOAN TRAFFIC IN THE SOUTH WEST PACIFIC AND SOUTH EAST ASIA

Beth Stone, *National Library of Australia, Canberra, A.C.T., Australia*

ABSTRACT

Patterns of national and international interlibrary loan traffic are summarised from replies received to a questionnaire sent to 200 libraries in the South West Pacific and South East Asia in early 1988. Overall response rate to the questionnaire was 34.8%. The questionnaire was also used to collect information on the availability of union catalogues in libraries in the region.

Australian international lending traffic is commented . . . Australian programs to assist international interlibrary loan traffic are briefly described. Questions are raised as to the best means of encouraging ILL traffic within the region.

But there are some interesting variations in international traffic patterns. Fiji is one of the countries with a larger population (about 677000) but no respondent reported any traffic with BLDSC, and one referred to the cost of requests to BLDSC and the difficulty of obtaining loans of monographs. There were 12 yes responses to questions about holdings of union catalogues (10.9% of possible yes answers). In contrast Papua New Guinea which has an estimated population of over 3 million, has 6 of the 7 respondent libraries reporting some level of requests to BLDSC. These levels varied from 1% and 2% of outwards requests to 75%. Papua New Guinea libraries gave 55 yes responses to questions asking about holdings of union catalogues (35.7% of possible yes answers).

New Zealand

Though New Zealand's population too is about 3.2M, its library system is well developed and its interlibrary loan traffic has been frequently discussed. (2) Of the small number of libraries surveyed for this report points of interest are as follows.

a) Very few requests are received from overseas libraries.
b) Libraries reported higher levels of requests being made to Australian libraries than to BLDSC. Median of percentages of requests to Australia was 4.8, to BLDSC 2.4.
c) Most requests are sent by mail and respondents reported little use of the online requesting facility available to Medline users. As yet the New Zealand Bibliographic Network does not have an ILL messaging capability.

South East Asia
Philippines

The impression gained from the replies received is that there is very little interlibrary loan traffic within the country or internationally. One library reported investigating a special link with an Australian university having a similar interest. Others commented on limited funds; another that interlibrary loans cannot be made because copies must be retained for reserve reading.

Indonesia

Indonesian libraries are in the process of development and an article such as Martwardaja's[3] surveys the recent development of national and subject specialising libraries. In the limited number of returned questionnaires there was some evidence of an awareness of the possibilities of interlibrary loan to increase resources for their readers. But there were also reports of very low numbers of requests made and requests received and one comment that due to the problems of despatch and return loans were not possible only copies being supplied.

Malaysia

In Malaysia (population over 15M.) the responses received indicated interlibrary loan traffic is at an active level with three universities each making more than 800 outwards requests in a year. All libraries except one also reported that 72%, or higher percentages of outwards requests went to libraries in Malaysia. The next most frequently cited source of supply was BLDSC. There were some reports of use of the less sophisticated methods of locating the source of a wanted item i.e.

— use of the telephone for location searching
— trial request to a library having a collection in the subject field
— use of serials lists of particular libraries

but there was also mention in responses of various developments towards online catalogues. (cf. 4)

Thailand

In this country of over 50M., responses indicated some ILL activity with 7 libraries each making more than 200 outwards requests in a year, but only one of those libraries made over 1000 outwards requests. Six of the libraries reported some of their outwards requests being made to Australia, varying from 1.4% to 30.5%. Two libraries reported some requests going to BLDSC. But two libraries mentioned delays in supply of items by overseas libraries.

There has been some development of union lists in Thailand. There were 50 yes answers to questions about holdings of union catalogues, 20.6% of possible yes answers.

Hong Kong and Singapore

These two densely populated areas appear to have similarities in interlibrary loan services, the university/college sector of each making a very high number of requests to other libraries (some libraries over 4000 requests per annum). The libraries making the greatest number of outward requests made a high proportion of those requests to overseas libraries — in one case 87% of requests go overseas, in other cases 50%, mostly to Australia and BLDSC.

Four of the libraries report using telefacsimile for the transmission of requests, for up to 95% of requests made within their own country.

The reporting libraries had good percentages of yes answers to the union catalogue questions. Hong Kong 27.2% and Singapore 30.6%. Singapore libraries have available SILAS, an online bibliographic database for the libraries of that country. As this develops more depth of holdings will a higher proportion of requests be made to other libraries in the country? Or will the nature of Singapore's technological development and its library users continue to encourage demand from large overseas collections?

Traffic from an Australian viewpoint

Australia's 1984[5] and 1986[6] international lending statistics show most requests from Australia being made to Europe and North America. New Zealand does not rate highly in the list of countries to which Australian requests are sent, but it is the country from which most overseas requests are received by Australian libraries.

Requests from Asian-Pacific countries dominate the overseas requests coming to Australian libraries, the 1986 top five countries being New Zealand, South Korea, Singapore, Malaysia and Vietnam. This order is very largely due to National Library traffic, which is influenced by special programs. Without National Library traffic the countries from which most requests were received by Australian libraries were New Zealand, Singapore, Indonesia, Fiji and the United States.

The Australian Medline Network

The network of medical libraries in Australia, New Zealand and Singapore has available online search of the MEDLARS database, to which is added the Australasian Medical Index data. As well as providing subject access about 50 members accept loan/copy requests via the network. There are other limitations eg. Australian libraries can send requests to only one library in New Zealand, the Department of Health, and Singapore libraries can transmit requests only to the National Library of Australia and the Australian Department of Health. Operations are on a cost recovery basis.

Australian ILL aid programs

In its Regional Cooperation Program (RCP) begun in 1980 the National Library of Australia gives support to the development of library services in the countries of Bangladesh, Burma, China, Cook Islands, Fiji, India, Indonesia, Kiribati, Laos, Malaysia, Mauritius, Nepal, New Caledonia, Papua New Guinea, Philippines, Seychelles, Solomon Islands, Sri Lanka, Thailand, Tonga, Tuvalu, Vanuatu, Vietnam and Western Samoa. Many of those countries have participated by receiving supplies of Australia's ILL prepayment vouchers and request forms for use in making requests to Australian libraries.

The National Library and the Australian Department of Health administer a World Health Organization/Australian government program to provide without charge up to 4000 articles per annum to medical centres in Brunei, China, Fiji, Kiribati, Republic of Korea, Lao P.D.R., Malaysia, Nauru, Papua New Guinea, Philippines, Samoa, Singapore, Solomon Islands, Tonga, Tuvalu, Vanuatu and Vietnam.

This explains the dominance of requests from countries such as South Korea in Australia's international request pattern. The agreement governing this traffic is being renewed in 1988.

ASTINFO

Unesco's International Network for the Exchange of Information and Experience in Science and Technology in Asia and the Pacific (ASTINFO) includes Australia as a member, with the National Library of Australia as its Australian Co-ordinating Unit. This year following feasibility studies agreement is expected on the commencement of the ASTINFO document delivery system. Based on National Library of Australia and CSIRO collections procedures will be established for requesting libraries to submit requests to these Australian libraries with part of the cost of the document service being met from Unesco funds.

Conclusion

Is it possible to identify any factors which encourage the development of interlibrary loan services after looking at the results of this survey? One factor is the existence of demand from researchers. This is evident from statistics of the tertiary institutions of a technical nature and the medical libraries.

But in the regions surveyed there are many areas where interlibrary loan service is very limited. At present it seems doubtful that libraries in some of these areas can make maximum use of the existing assistance programs to develop interlibrary loan services. The assistance programs described result in a benefit only when a request is made and loan or copy is received. Would more assistance in the form of union catalogues or self-instructional kits in interlibrary loan procedures provide encouragement? Or does there have to be more development of libraries generally, a strengthening of collections, and an increase in the awareness of the possibilities of interlibrary loan services amongst library users before interlibrary loan demand increases significantly?

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59-INTL-3-E

THE INTER-LIBRARY LOAN SCENE IN AUSTRALIA: 1988

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ABSTRACT

This paper reviews the current state of the Australian inter-library loan (ILL) system, and reports the findings of a recent Australian national survey of ILL. The author concludes that traffic studies are helpful, but do not answer many fundamental questions about collection development and library co-operation; and argues that more research is needed into user needs.

The purpose of this paper is to outline the Australian inter-library loan (ILL) scene, and review some issues of current interest. But first, something needs to be said about the influences of the geographical, and socio-political context on the Australian ILL system.

By now, overseas delegates will be familiar with the contrast between Australia's enormous land-mass and comparatively small population (approx. 16 million), concentrated in a small number of cities and urban centres. As we celebrate the bicentennial anniver-

sary of the white settlement of Australia by Britain, it is interesting to reflect upon the social effects of this country's origins as a set of independent colonies, their comparatively recent formation into a federation (1901), and the contrast of slow growth in population and high post-war immigration from all over the world.

The Australian historian Blainey[1] coined the phrase "tyranny of distance" to describe the sense of isolation of many Australian communities. This metaphor had such power that it entered the Australian language, almost to the point of becoming a platitude. This perception of locality, and the irresistible tensions which develop between central and regionalist forces, infuse many aspects of Australian life, including ILL.

Line,[2] as part of the UAP programme's review of national document supply systems, has identified the essential elements of a national document supply system. Figure 1 overleaf summarises them, and displays examples of their Australian equivalents.

Component	National	Local
Collection	ANL	Individual libraries
Location tools	NBDB & ABN NUCOM/S SSAL, SALSSAH	Regional and other union catalogues
Protocols	AACOBS Code AUSLOAN Manual AACOBS form	Local arrangements
Communications	Australia Post, Telecom plus Commercial carriers	National systems plus local arrangements
Charging mechanism	Local arrangements	LAA Voucher, Voucher-free schemes, consortia

Figure 1: Line's generic model of national document supply systems with Australian examples.

Some of the key elements of the Australian ILL system are:

1. The National Library of Australia which, as well as providing a Loan and Photocopy Service from its own collections, is also responsible for the National Bibliographic Database (NBDB). This includes the database used by the Australian Bibliographic Network (its nation-wide online cataloging service), and also a number of other national union lists, including those originally created by the Commonwealth Scientific and Industrial Research Organisation (CSIRO).
2. The State Libraries which provide a number of regional services, whose differences reflect their varying structures and responsibilities, but include both ILL supply and referral, as well as the provision of union catalogues.
3. The protocols governing conduct of the Australian ILL system that are contained in a Code[3] developed by the Australian Advisory Committee on Bibliographic Services (AACOBS). The Library Association of Australia (LAA) has also produced a more detailed manual[4] for the practical conduct of ILL.
4. The standard forms supplied by AACOBS for the transmission of ILL requests are extensively used, although a lot of ILL activity is conducted by other means.
5. The charging mechanism which consists of a redeemable voucher, is purchased from the LAA, and which freely circulates with ILL requests. Although the AACOBS Code recommends its use, in practice its exchange is freely waived between many groups of libraries. Its face value is determined by the LAA, but the number of vouchers exchanged for an ILL (or the "price" of an ILL request) is recommended by AACOBS.
6. The large number of groupings, or networks, of libraries, developed for a wide variety of reasons and existing in a wide range of states of formality. They frequently maintain a union list, often the by-product of cataloguing, and may sometimes include a variety of ILL devices or surrogates. The devices include jointly-funded ILL couriers, and a member of staff of one library located in its principal supplier to conduct ILL on its behalf.[5] This device is known colloquially as a "cuckoo". ILL surrogates include schemes for reciprocal access and reciprocal borrowing, principally for students.[6]

It should be noted that Australia has examples of all of the key components identified by Line. It should also be noted that decision-making in the Australian ILL system is distributed, and thus that the system itself is what Line describes as "hybrid": it consists of a mixture of centralisation and distributed organisation.

Issues in the Australian ILL system have been of some considerable concern here for some years now; costs (or charges) is perhaps currently the most hotly debated issue. Progress in this debate, and other developments, have been summarised periodically, by Stone[7] and by Steele,[8] in "Interlending and Document Supply". Three national conferences, and several regional meetings, have been held to discuss the issues. The general question of Document Supply is to figure prominently in the forthcoming National Summit on Libraries.

Much of the debate has hinged upon differing perceptions of traffic flow between sectors of libraries, or more particularly the lack of national and consistent data. A lot of data does in fact exist but had been collected as part of more general data gathering exercises, such as the AACOBS Census and the ANZALDATA (for academic libraries). Other data was specific to ILL, such as the national survey conducted by Weinstock,[9] or the more local data collected by Jones.[10] Individual libraries, and systems of libraries, of course had their own statistics, and these often figured prominently in the debate.

Of course the problem with such data was that the variant objectives motivating its collection resulted in inconsistencies which prevented it forming a consistent national picture, so that a considerable demand for such a national database developed. There were many suggestions as to the type of data which was needed, and several attempts to show how such data might be used in understanding the nature of the traffic. Jones[10] had collected ILL performance data on several key libraries over several years, while Stockdale[11] and Cameron,[12] for example, each suggested potential methods of analysis. But, as the latter pointed out, the result of adding apples to oranges is usually fruit salad!

In 1984 a national study was recommended by the National Document Supply Summit to consist of:

a feasibility study
the study (if approved).

The feasibility study was funded by the (then) Commonwealth Tertiary Education Commission (CTEC), the contract let with the (then) Western Australian Institute of Technology, and conducted by the author. The findings were published in 1986.[13] The design was substantially approved, and a national survey of ILL traffic was conducted over four weeks in April/May 1986 by the present author with the assistance of Mrs. J. Richards. The results were published in 1987.[14]

National surveys can be expensive and difficult to mount, and the decision to do so in Australia was not taken lightly, particularly in a time of increasing financial stringency for libraries. The feasibility study had attempted to analyse existing data to see what patterns of activity could be discerned, and at the same time survey opinion and practices. The latter proved more revealing. It seemed that there were few statistically significant relationships observable between ILL statistics and those of other indicators of library activity, such as size of collection and client population, or participation in the national union catalogues. While it might be argued that there is no evidence for supposing that such relationships would exist, there was some evidence that such beliefs were prevalent. The responses to the survey of opinion in fact revealed a great range of attitudes toward, and beliefs about, ILL. These often derived from the incompatibilities between value system or institutional objective which are inevitable in any modern group of librarians. It also became clear that variations in practice, often caused by regional or local structural differences resulted in many inconsistencies in terminology and semantics. For these reasons it was recommended that consistent data be collected simultaneously from samples drawn from all sectors of libraries.

In selecting a method, the survey of traffic had the benefit of access to the UK study[15] and that conducted by Lor[16] in South Africa. Both of these had used methods not dissimilar from that used in a previous Western Australian survey of ILL,[17] which had attempted to do locally what was now being contemplated nationally. This method was to transcribe data about ILL transactions from working records, and keyboard them for computer analysis. It was decided to include all transactions (both inwards and outwards) completed during four consecutive weeks by libraries participating in the study. An important data element was the name of the library which sent or received the request; from this it was possible to plot precisely the relationship between individual libraries, and thus sectors of libraries.

Some 391 libraries agreed to participate, and between them supplied 30,456 records of borrowings and 38,368 of lending. The sample covered all types of library including the National and State Libraries. The latter drew samples of Public Libraries according to

the project guidelines, the Commonwealth and State Departments of Education drew samples of school libraries, although the response from this sector was very low indeed. All tertiary academic libraries participated, and a large proportion of these in CSIRO sites. Special libraries were selected by inviting all known cooperative schemes to participate, and by also inviting all those which had reported highly anomalous ILL activity to the second AACOBS Census.

The survey was a major organisational task, not least because of the huge distances covered by the survey. To reduce the visible cost it had been decided to ask participant libraries to code their own data; the project is, therefore, a form of questionnaire survey. The libraries which willingly provided staff to code the data are warmly to be thanked for what must have seemed a most onerous and unrewarding task. To increase the consistency of coding a training videotape was circulated to support the detailed coding instructions. The State Libraries and the National Library of Australia are also to be thanked for providing much support and assistance, particularly in organising local training sessions for the coders, as well as in selecting potential participants.

Although the findings are perhaps less interesting than the problems posed by conducting such research, and the ways in which the data can be used, the results merit some attention; anecdotal evidence suggests that they match experience in other countries. Very briefly, the traffic survey found that the largest volume of traffic was reported by the universities, which borrowed heavily from each other. Moreover, the universities' ILL traffic did not seem to be dependent on the size of the university's population; some very small universities borrow about as much as very large ones. The large volume of data reported by the universities may reduce the apparent relative significance of the support they provide to other libraries, in particular special libraries. However, this tended to be to libraries nearby. While that support may well be uncomfortable for individual libraries, it seemed to be a local rather than national problem. Traffic generally tended to be very largely intra-state, suggesting that libraries were quite properly using containing their demand within the local community. There was very little overseas traffic.

The material requested was largely photocopies of journal articles, very often recently published volumes. The most popular subjects were in Dewey Classes 3,5 and 6, while English was the most frequently reported language of publication.

In terms of system performance the success rate was generally very high (83% for borrowing and 74% for lending) bearing in mind Line's recommended minimum level of 70%. The turnaround was also relatively fast, in that fifty percent were completed within 7 calendar days. However, the median turnaround for the different sectors of library ranged between 2 and 22 days. The mean for intra-state requests was 13 days, while for inter-state it was 20 days. The slower turnaround will reflect mainly communication difficulties in a very large country. The picture which emerged was one of a relatively self-sufficient community, tending to direct its traffic to local targets, and generally reporting high levels of fill-rate. Also included in the study was a survey of statistics and of ILL practices amongst the participants. Resources did not in the event permit the complete analysis of this data.

The motivation for the research might be described as political, in the sense that it was hoped that such a survey would yield data which might help inform cooperative decision-making. Although every attempt was made to keep the study rigorous and objective, this political dimension could not be ignored, and regular reports were made not only to the funders, but to other interested bodies and individuals, and also in the professional literature.

To some extent the project was perhaps overtaken by events. For towards the end of its funding period, the AACOBS Standing Committee resolved the value of LAA vouchers circulated with a transaction should rise from A$3 to A$6. This resolution allowed for a period of public debate, and subsequent implementation. It would come as no surprise to this audience to learn that this decision was not universally popular. Fielding[18] provides a fascinating insight into the background of the decision, and the subsequent debate and activity. This included some further research in the form of a survey of costs.[19]

Questions concerning the costs of ILL are not easy to answer. Line (20) has done us a great service with a careful analysis of the concepts, and methods of collecting appropriate data. The problem has two principal dimensions, from the standpoint of the Australian context:

1. Comparisons between costs for different libraries, for types of library, with allowance made for differential efficiencies.
2. The question of user benefit, in relation to the ILL practices used.

Perhaps not enough research has been done on user need, satisfaction and benefit. Stone,[21] for example, has studied some of the aspects of the process leading up to the ILL request, and of the effects of its outcome perceived by the user. Such an approach is very illuminating. Yet this Australian traffic study shows that ILL practices vary widely between different types of library for many reasons. What we observe as patterns of traffic are in fact the result of often quite complex, and sometimes hidden, interactions between decisions taken by an information searcher and by the library lies s/he uses. If we try to examine this interaction in a little more detail, we can plot some of the basic points of interaction as in Figure 2.

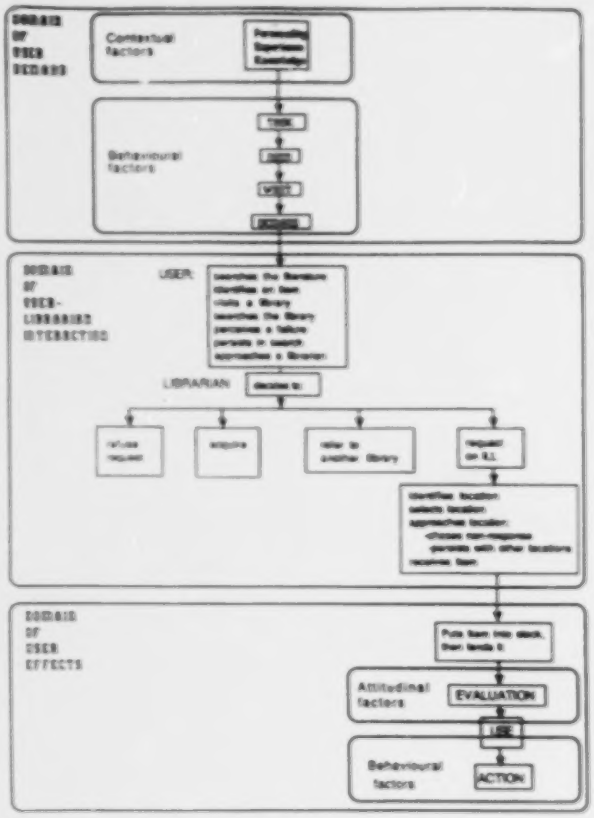

Figure 2: A model of user-librarian interaction

There we see that several alternatives to ILL are available to both parties in a transaction designed to remedy a failure to find what is needed in the host library. We have little objective information about the cost of ILL in Australia, although Watson,[22] Steele[23] and Allen[24] have each contributed data from specific libraries. Allen[24] goes so far as to suggest that while the costs of processing ILL requests may represent a relatively small proportion of the total costs of an academic library, they pale before the costs of buying material in the normal process of acquisition of matrial much of which is never borrowed at all. Without information about the cost, benefit and takeup of the alternatives means of acquiring documents we are not in a position to be certain whether the cost of ILL is too high. We also do not know if ILL is a last resort for our users. If it is, then the user may be well lower their expectations to a point where we might well over-estimate the reality of user benefit attributable to ILL. Perhaps these are issues which librarians might find repaid further examination.

In looking at recent Australian ILL research, no attempt has made here to propose solutions, nor aim to define an exhaustive set of questions. However, Flowers,[25] has recently confirmed that the real issues we need to know more about are:

- alternatives to ILL
- the relative costs of each alternative, including acquisition and its associated costs of cataloguing, storage, and use
- librarians' preferences for alternative routes for document supply, and their reasons
- feasibility of applications of information and communications

technology to document supply, and the likely costs, and diffusion patterns
- the feasibility and utility of providing access to the entire collections of all libraries participating in Australian ILL
- the needs, behaviour patterns, and preferences of the end-users seeking information and possibly generating ILL demands
- the feasibility and utility of developing national collection development and management policies
- analysis of the special financial and communication problems in document supply facing Australian libraries
- the effects of linguistic barriers on Australian research and economic progress

While no attempt will be made here to answer them, it should be clear that, in view of this author, what is needed is more research, not just into the characteristics of the ILL system, and alternatives to it, but into the nature of the information-seeking process of which ILL is only one part.

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64-ACQUIS-1-E

DECENTRALIZING NATIONAL ACQUISITION POLICIES. ILLUSTRATIONS FROM EUROPEAN COUNTRIES

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It is long ago that in King Solomon's time complaints have been uttered about never ending book making with no means at hand to manage the flow of information. Centuries later, in the middle of the 19th century, the famous Tubingen librarian and jurist, Robert von Mohl, who in a way has to be regarded as founding father of special subject collections in Germany, commented the disparity between the production of literature and the acquisition policy of scientific libraries: "The increase of books in number as well as in price has had unfortunate effects on our public libraries, especially by the coincidence of both trends. With funds mostly not increasing to the same degree most libraries no longer are capable of purchasing new publications which according to subject and value they should hold ...". You may be astonished to be confronted with historic statements at the beginning of a report dealing with a current and modern problem of librarianship and library policy. However historic they are, they lead directly to a fundamental and very modern question concerning science and librarianship as well as individual researchers and librarians, which becomes more and more important. There are two corresponding factors, the increasing number of publications on one side and the problem how to receive and work up all information on the advance of knowledge on the other, which confront scientists as well as librarians with difficulties being very similar to each other despite different initial positions and interests.

But it is a problem of our modern information society, too. Despite many economic and ecological problems today's society is still determined by growth and an advance of knowledge the limits of which will remain undefinable within reasonable time. Beginning from the 19th. century the number of scientists and researchers has multiplied several times. This development has not been straight, but is rather marked by exponential rates of increase. In our times the knowledge of mankind doubles itself every 5,5 year as has been proved recently. The advance of knowledge, however, is based above all on communication among the scientific community and is dependent on information on recent scientific results. At this point, however, librarians are included into the communication process among scientists and scientific institutions so far developing by inner dynamic. It has to be noticed that the advance of knowledge is reflected above all by publication in books, periodicals or — more and more — in new information media. In this field, libraries as service institutions act as intermediaries acquiring these publications and making them available to science and research.

But how shall libraries and librarians select literature being forced to make a decision between two titles worth to be purchased? For a long time already no library throughout the world is capable of acquiring and preparing for use publications at a large scale, neither the great national libraries collecting material among traditional lines nor the university libraries as universal scientific libraries nor even the specialist libraries which despite their particular specialization can scarcely reach completeness.

The commitment to maintain comprehensive holdings in order to meet the literature needs at national level is above all dependent on the development of funds. On the other side it has to be attended that the coordination of budgets exactly and rationally shall be based on far-reaching methodical plans. Beside the field of acquisition as such they shall include forms of cooperation relating to cataloguing and retrospective summarizing as well as to problems of preservation and making films? "Conspectus" is the magic word describing the planning of library policy in several countries, even differing from each other. It aims at decentralizing the universal commitment to maintain comprehensive holdings by organizing a system of several pillars in order to meet the literature needs at national level in a reasonable way. But "Conspectus" is not the only formula representing the process of decentralizing, i. e. the assign-

ment of special subject priorities, in several countries. No matter whether it relates to federal or unitary states, to cooperation within one country or among several countries in the West or in the East: at least the targets are based on similar problems. The Federal Republic of Germany is somewhat apart from these current trends of structural planning, not coming up with a new conception or even a new programme. This is mainly due to the fact that there is already a rather long tradition of decentralization based on the special subject collection programme of the Deutsche Forschungsgemeinschaft established in 1949, which since then has been worked successfully. This kind of decentralization therefore will be only marginally dealt with in the following.

The Research Libraries Group Conspectus, the British Library Conspectus, and other national programmes

A survey of different targets in several European countries shall be preceded by some considerations concerning the methodic intent of the "Conspectus" being in many cases the starting point for other national programmes. If according to the original Latin word "Conspectus" means "something that becomes visible", so the U.S. Research Libraries Group from the very beginning at the end of the seventies aimed at developing a system that could make visible — or in other words: transparent — several things at the same time. The survey of collections in general as well as of special subject collections of individual scientific libraries was only one target among others or, more precisely, an element of the target itself. With publications steadily increasing in number and budgets being in part reduced, the most important intention was not only to create a survey of holdings but above all to disseminate information concerning special subjects to be acquired for particular collections in order to explain the decision making process leading the collection building and acquisition policy of individual libraries. That means: presenting the factors determining the decision, which had to be examined separately for each particular subject and each particular library as well. Substantial differences had to be realized in relation to the extent of acquisitions, to the breadth and intensity of interests, specialization, and the like. Without doubt it had been necessary and useful for U. S. libraries to compile information on building up, planning and developing collections in form of a survey which was immediately organized as an online database and included into the Research Libraries Information Network (RLIN). Because of its methodic intent, however, the project met with interest and initiated new planning in several countries at the same time. Very soon a working group in Scotland, consisting of 11 university libraries and the Scottish National Library at Edinburgh, as well as the Canadian Association of Research Libraries in Canada together with the National Library of Canada had studied the Conspectus scheme, adopted its methodic basis, changed, however, in some points, and had developed Conspectus programmes regulating the collection policy in their own countries. At the same time six university libraries in Sweden as well as the Royal Library at Stockholm created the project "Suff" in order to discuss the possibilities of adopting the Conspectus scheme as a whole or at least some of its principles, something similar was done in the Netherlands by eight university and college libraries, the Royal Library at The Hague, and the Library of the Academy of Science, associated in the "Samenverkingsverband", planning the "Coordinatie van de Collectie Vorming". Furthermore it was important that the IFLA Section on Acquisition and Exchange very soon became engaged in this problem, making it a principle subject of its work for the years to come.

The efforts made in several European countries are to be seen rather as singular methodic considerations to begin with. However, as soon as the British Library, being in many ways responsible for national library planning in the United Kingdom, had published its Conspectus, librarians all of a sudden became interested in the problem of adopting the fundamental Conspectus principles. Moreover, in May 1987 the British Library held a seminar on cooperative collection building and library policy which made the Conspectus scheme even more public.

Conspectus starts from the idea to establish a standardized theoretic basis in order to fix subject oriented decision aids to lead the acquisition policy and the development of collections. This is to be regarded as a contribution to qualitative improvement of acquisition decisions to be made by a single library as well as by several libraries acting together. The general plan of Conspectus has been classified in relation to special subjects which on their part are listed in tables naming the subject and indicating the position in the Library of Congress Classification as well as in the Conspectus of the Research Libraries Group and, above all, including valuation rates related to intensity, breadth, and priorities of acquisition. They provide more general criteria leading acquisition decisions at subject level, on the other hand the decision process itself gets differenced because subjects are subdivided into sections resp. aspects and supplemented by comments paying due regard to special circumstances, acquisition interests, or target groups. At the subject level itself criteria given for valuation are guidelines and priorities to mark basic functions, etc. The valuation is completed by indicating the languages which are to be consulted in the decision process. The global valuation would certainly be insufficient, were there no comments concerning the acquisition policy in particular sections.

Starting from this theoretic standard of the Conspectus several countries have discussed an adoption of this scheme. But it seems to be too early for final statements concerning these developments. It has to be mentioned, however, that nearly all countries set up their own priorities. Libraries in the Netherlands, e.g., used the Conspectus method not only for the coordination of collection building, but also for cooperative "resource sharing" supporting alphabetical and subject cataloguing. Surveys on priorities and allocation of subjects can be used in the field of "conservation and preservation", too, providing measures for rationalization through coordination, concerning, e. g., the making of films or fiches of printed material for interlibrary loan. The example has been given by the Canadian Association of Research Libraries, having included this kind of library management into the Conspectus programme. Maybe the Conspectus scheme will be discussed in the Federal Republic of Germany, too, not, however, at supra-regional or national level, being already object of the Deutsche Forschungsgemeinschaft's special subject collection programme which provides reliable guide lines. Therefore the Conspectus method rather will be used to meet the literature needs at local level, facilitating the cooperation between the central library and department libraries by the way of assigning responsibilities and spheres and by defining breadth and intensity of acquisition interests. The Conspectus scheme will be used at regional level, too, providing libraries located in the same state with guide lines being a kind of subsystem of the Deutsche Forschungsgemeinschaft's special subject collection programme. Thus shall be guaranteed above all the graduated system meeting the literature needs, because first local resources have to be used at the greatest extent, and only if they fail level shall be approached.

Cooperation not based on the Conspectus scheme

Beside the countries mentioned which now discuss the Conspectus scheme, there are still other European countries now approaching methods how to cooperate and how to assign responsibilities concerning the acquisition policy at national level. Socialist countries, too, are aiming at decentralizing special subject collections, as it is clearly proved by the scientific libraries' special collection programme in the German Democratic Republic; its second improved edition has been published in 1982. It has to be noticed that this special subject collection programme is treated as subject of the national planning policy as a whole, because with each new five-year plan being passed the special subject collection programme is scrutinized with regard to its topicality and, if necessary, specified. The programme started from two points. First, there was the demand for better availability of relevant information material steadily increasing. Then, it was necessary, for the sake of common interests, to reduce the means designed for that purpose. So setting up the special subject collection programme, the scientific libraries aimed at "spending especially the means designed for the acquisition of foreign-language literature as effectively as possible by the way of cooperative acquisition measures according to the special subject commitments fixed in central plans and at improving the use of information sources available in the GRD with no regard to the fact that the libraries holding the information demanded might be subordinated to different institutions. Therefore, comprehensive and up-to-date information has to be provided concerning the information sources acquired which on demand have to be made available in original or copied form." Regarding this programme a special definition has to be noticed concerning the assignment of whole special subject fields to a library. These are to be seen as subject fields for which literature is acquired according to governmental or social assignment, to the functions of the institution or to tradition. So far, the programme defines more comprehensive subject fields similar to the subject oriented guide lines of the Conspectus and to the descriptions of special subjects in the Deutsche Forschungsgemeinschaft's special subject collection programme. In addition, however, The GDR programme defines collection priorities, for which particular libraries alone are responsible serving science, economy, policy, and culture throughout the German Democratic Republic. Both functions thus defined are completed by special subject collection fields, grown up by tradition, dotation, and the like, which are still kept up by libraries although are only slightly linked with their particular special subject collections. It has

to be noticed that this special subject collection programme is aiming above all at acquiring foreign-language literature. Inland publications as a rule are acquired by all scientific libraries, especially by university libraries.

In France, there are quite different national structures any planning has to be based on. Although the Bibliotheque Nationale is still dominating in the field of collection policy, now a decentralized system is being built up by establishing Centres d'acquisition et de diffusion et de l'information scientifique et technique (Cadist). Members of the system are above all the French university libraries as well as the interlibrary lending service of the Bibliotheque Nationale. To a fairly large extent this kind of decentralization seems to be in accordance with the internal policy as such which from the beginning of the eighties is directed to regionalization. The system including principal elements of the special subject collection Programme in the Federal Republic of Germany as well as of the American and Canadian Conspectus is aiming at assigning special subject priorities to particular universities. It has to be noticed that the assignment of acquisition responsibilities is directed from the centre, establishing a union catalogue of monographs which shall not only improve the state of summarizing, but also facilitate the coordination of acquisition policies.

In Switzerland, a Committee on University Libraries (KUB), representing all important scientific libraries, is discussing under the auspices of the Swiss University Conference the problem of a Swiss special subject priority programme. At the moment it is dealing with comprehensive statistics to be made at all scientific libraries in Switzerland. Furthermore it is concerned with problems such as how to define special subjects to be established as priorities within the scope of a comprehensive programme and how to define the responsibilities of particular special subject libraries and how to fix locations and how to calculate the expenses according to regions. These considerations can be expected to be going on and passing the planning stage within reasonable time so that they can be approved by the Swiss University Conference. It has to be noticed, however, that apart from planning at national level the Zurich Central Library has established for its subject librarians a system of graduated acquisition catagories in order to control the acquisition policy while meeting the literature needs of the town, the university, and the region.

In Austria, too, there have been made efforts in order to coordinate the acquisition policies. In 1983, the Vienna University Library, e. g., has published a detailed definition of its collections guide lines, which have improved the coordination of selecting literature among the central library, departmental and specialist as well as other libraries subordinated to the university or the town. Particular stress is laid on a close cooperation with the Austrian National Library. It is clearly said that these guide lines of the Vienna University Library shall be taken as a first step meant to enforce the planning for cooperation among all Austrian libraries building up their collections. However, it is not possible to tell exactly how far the programme has been developed up to now.

In Southeast Europe the situation is more complicated. Not seldom national circumstances are determined by dominating national libraries as well as by low budgets of university libraries. A good demonstration of this fact is the situation in Italy, where any kind of coordinated library policy at national level is hindered by the lack of appropriate laws and by the diversity of institutions, meaning the concurrence of responsibilities as well. Nevertheless, even in Italy more attention will have to be paid to a better coordination of collection building, supported by the establishment of a machine-readable union catalogue. Centres for meeting the literature needs at national level, e. g. for collection building as well as for summarizing, will be located at Milan, Turin, Ravenna, and Florence (2 locations), which in the future shall be completed by nine other centres, i.e., Rome (6 locations), Milan, Naples, and Padua. The establishment of these centres will be based on general as well as special aspects.

The Scandinavian countries already in the fifties have developed their Scandia plan. It is based on voluntary cooperation of libraries in Denmark, Finland, Norway, and Sweden, moderately regulating the assignment of commitments for the acquisition of rare literature. The Scandia plan itself did not yet reach its particular target mostly because of technical as well as structural developments, in some Scandinavian countries, however, there do exist forms of cooperation in collection building. This is true for particular countries as such, e. g., Denmark with eleven libraries cooperating, but in Finland, too, there is such a kind of cooperation dating from the end of the seventies and the beginning of the eighties, which has 10 member libraries. In Norway, in 1983 comprehensive collection commitments have been assigned to 7 libraries, to which another one was added later on. In Sweden, in 1983 5 specialist libraries have been called up to cooperate to which at the end of 1986 three other libraries of that kind were added.

Summary

Having summarized all these activities one can easily notice that in several countries the acquisition policy at national level is put into motion. It always started from the problem how to cope with the increasing number of publications with budgets being stagnent or even reduced in order to keep meeting the literature needs of science and research at national level. Methodically the programmes are differing from each other, according to particular national circumstances. Yet it is still impossible to foresee exactly in which way these programmes have already been completely realized or will be realized. But it has to be noticed that decentralization can be hold and will be hold in the future, too, as a reliable way to meet the literature needs at national level. Most certainly this is true not only for the old European countries, for which examples have been given in this report. It is no less true for the U.S. where the Conspectus scheme has been developed setting into motion further planning. Decentralization, however, will be able as well to support the establishment of library and information systems in developing countries. The problem how to meet the literature needs and how to provide information material is a national responsibility which has to be realized by each country of its own, decentralizing acquisition policies at national level, however, is also a question of methods, thus influencing developments abroad. It comprises the scientific communication as a whole concerning all subjects, and spheres of interest, at interdisciplinary and international level.

ABSTRACT

There are two corresponding factors confronting scientists as well as librarians with more and more problems: the increase of publications on one side and on the other the difficulties how to cope with and how to work on these publications informing about the advance of knowledge. It is the librarians' responsibility to provide the basis research is dependent on by selecting and acquiring material according to general collection commitments as well as to special interests. The main problem, however, is not only a phenomenon of librarianship, but it comprises academic communication as a whole concerning all subjects and all spheres of interest at interdisciplinary and international level.

For a long time already, no library throughout the world is capable to acquire and prepare for use publications at a large scale, neither the great national libraries collecting material along traditional lines, nor the university libraries as universal scientific libraries, nor even the specialist libraries which despite their particular specialization can scarcely reach completeness. In many countries efforts have been made to acquire literature in a comprehensive and reliable way in order to meet the literature needs of the country; they are mostly based on measures assigning commitments by decentralization. This is true notwithstanding the specific methods or targets set up in particular countries establishing priorities for collection building, thus initiating cooperative acquisition policies. Recently some European countries as, e. g., the United Kingdom, Sweden, the Netherlands, have been concerned with the particular problem whether the Conspectus scheme of the Research Libraries Group were to be adopted, another country, e. g., the Federal Republic of Germany for years already is operating a system coordinating special priorities which needs the literature needs at supraregional level, in other countries, however, such as the German Democratic Republic, Switzerland, Austria, France, and Italy acquisition policies are based on other forms of cooperation depending on other circumstances.

Experience shows that the literature needs can be met at national level by coordinated assignment of commitments and by decentralization supported by central information on holdings (by catalogues or cooperative acquisition).

65-ACQUIS-2-E

DIFFERENTIAL PRICING IN THE INTERNATIONAL BOOK MARKET

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ABSTRACT

Research libraries are being forced more and more to face the problem of differential pricing policies practised by a growing num-

ber of important international publishers and publishers groups which increase their profits at the expense of libraries' budgets.

The surcharges that they demand discriminate against libraries in two ways: first as libraries compared to individuals, second because of their geographic location in relation to the country of publication.

This paper describes the various surcharges in detail. It goes on to propose possible countermeasures that libraries can take right now and other future actions to be planned at IFLA. Through concerted negotiations with publishers and publishers associations libraries should be able to achieve mutual understanding leading to the elimination or reduction of this discrimination without open confrontation.

Introduction

The acquisitions librarian at a research library today is becoming more and more concerned about two trends:

(1) general price increases for materials he would like to purchase for his users, because these prices rise faster than the average rate of inflation;

(2) special differential pricing policies adopted by an increasing number of important international publishers, which often cause the acquisitions librarian to pay much more for information than a private person would pay, and much more than his colleagues in other countries as well.

This paper deals with the second trend, which has been rapidly expanding in recent years and is therefore especially alarming. Differential pricing policies exacerbate general price increases for all kinds of materials in ways which are extremely distressing to librarians. Again and again librarians have denounced these policies,[1] but even clearly written articles have not succeeded in changing anything in their favour. So it seems necessary to follow up these verbal protests with action.

What methods do the publishers employ? Two kinds of discrimination can be identified:

(1) discrimination against libraries as institutions as compared with individuals,

(2) discrimination against certain libraries as compared with others, based on geographical location in relation to the country of publication of the literature to be acquired.

Differential pricing concerning libraries as institutions

Let us first consider differential pricing in the same country: discrimination against libraries as compared with other customers purchasing the same information sources.

The first point to be made is that the cost of the hardcover edition of a monograph, preferred by librarians because of its greater durability, exceeds the cost of the paperback edition by an amount far above the value of the machine-made binding.[2] Publishers, therefore, realize a disproportionate share of their profits from selling hardcover editions to libraries.

Much more serious are the pricing differentials for periodicals, which are expanding rapidly in number as well as in cost.[3] In the last few years a great number of publishers and corporate bodies that used to raise the surcharges on libraries' subscriptions by moderate amounts have begun to raise them higher and higher. The price differences now evident between library subscriptions and those offered to individuals are no longer comprehensible to librarians. But the differences are still increasing. In 1984 the highest library subscription surcharges ranged from 900% to 1177% above individual subscription rates. In 1988 Pergamon Press, which has a leading position in this regard, has already come up with surcharges from 1474% to 1590%. Recent investigations show that the system of differential pricing is becoming increasingly widespread. Even publishers who used to quote only a single price are now advertising that low-priced subscriptions are available to individuals. A German librarian accustomed to fixed retail prices for domestic publications is even more surprised to discover that some German publishers adopt the same policy in foreign countries, except Switzerland and Austria, offering far less expensive subscriptions to individuals.

There can be no doubt that publishers do not want to sell individual subscriptions at a loss. Otherwise they would not advertise them now on an increasingly large scale. So we librarians in turn may ask: why do libraries often have to pay a multiple of the individual subscription price, which already seems to be profitable?

Circumstances would be somewhat more favourable for libraries if scientific associations still published their own periodicals at low prices. Unfortunately, most of them have handed over their periodicals to commercial publishers. Others do still act as publishers, but they have begun to copy the practices of commercial publishers. Even associations are now charging libraries a multiple of the price required from individuals, who in turn are being charged a higher price than members of the association itself,[6] who thereby can easily save their annual membership fee. One gets the impression that some associations are able to exist quite well on the proceeds from the sale of periodicals. At the same time they have left far behind their traditional ideal of the disinterested dissemination of knowledge.[7]

Differential pricing for libraries based on geographical location

The differential pricing policies outlined above affect all libraries to the same degree — simply because they are libraries. With regard to the second kind of discrimination based on geographical aspects, on the other hand, there are often considerable price differences. A very great number of publishers establish differentiated prices depending on which country their products are sent to.

In general it can be said that libraries in the U.S. and the United Kingdom are favoured compared to those in other countries, because a considerable part of the literature relevant to research libraries today is published in one or both countries. The rest of the world is more or less discriminated against. This is true even for most developing countries,[8] which sometimes have to pay far higher prices, differentiated by continents, than can be justified by higher transportation costs or by providing security for fluctuations in the rate of exchange.

Many U.S. publishers require substantial surcharges for monographs ordered from one of their branch offices or distribution centres abroad. The rate of increase is still climbing and has reached an average of 47%[9] in the United Kingdom. These surcharges usually can still be avoided by ordering from booksellers located in the U.S. or from an importer who has connections with U.S. wholesalers.[10] It is more difficult to deal with a publisher located on both sides of the Atlantic who does not indicate in his now often unpriced catalogues where his books originally were published. This lack of information can cost libraries surcharges up to 70% if they order in the "wrong country"[11] — very much to the publisher's advantage.

Difficulties which can hardly be overcome, however, arise when a publisher such as Bowker, who exists primarily on sales to libraries changes over to direct delivery to U.S. and Canadian customers, thereby shutting out completely booksellers who could supply libraries in other countries as well. Through this change the publisher has closed the market and can force all his customers outside North America to accept the considerably higher prices charged by his sole designated exporters, who belong to the same group and are controlled by the publisher himself. Consequently, price increases from 45% to over 100% are realized. In European sales, for example, such price increases are partly brought about by equating the U.S. dollar with the British pound.[12]

Periodical prices are even more easily differentiated. Even when a subscription is placed with a book seller or agency, for direct delivery the publisher must be given the customer's address and thus can charge the price assigned to that particular region. American librarians were surprised in 1984 by excessive dollar subscription prices established by British publishers. They have only been able to avoid them by a special procedure called "buying round" or "consolidation" that is offered by some agents who have periodicals shipped to their own address and then send them to the libraries.[13] This kind of procedure, however, no longer works with the German publisher VCH. Since 1986 American libraries cannot order VCH periodicals directly from the Federal Republic of Germany. They have to order them through the publisher's American branch office at a much higher price.[14]

Some publishers set highly differentiated regional price-lists which are annually revised.[15] This practice continually confronts us librarians with new financial problems. As long as possible we try to meet them by redistributing our funds to support the periodical subscriptions. We do not want to deprive our users of important information and thus to interfere with their research by suddenly canceling their most valuable sources.

It seems, however, that the more patient we librarians are, the worse the situation gets. Until now, extreme forms of differentiated pricing seem to be practiced only by a not too small minority of publishers. There is a danger, however, that this pricing system will spread further at libraries' expense, perhaps even expanding more extensively into the monograph sector. More and more we librarians will have to ask ourselves who in this strongly differentiated pricing system is really paying the correct price, or, to put it differently, which group of subscribers in subsidizing the others.

Certainly we know that only a portion of the sales of scholarly publishers goes to libraries. This portion is generally estimated at about 25%,[16] but it may be greater for periodicals. Furthermore, periodical sales to libraries may contribute disproportionately to

total sales volume because of the excessively high subscription rates fixed for libraries. We become alert indeed when we read in booksellers' journals that the same publishers whose differential pricing policies make a bad impression on us have once again earned fantastically high profits.

We do wonder whether libraries are having to contribute a disproportionate share of these considerable profits because of the differential pricing system. And we do wonder as well whether another thing may also be true. Research and development are served by a closed system of partners dependent on each other: author, publisher, bookseller or agent, librarian, and user, who in turn may also become an author. This mutual partnership may be considerably disrupted by just the kind of publishers mentioned above, causing damage to international scholarly research.

How libraries can respond

What can we librarians do? What actions can we take to protect the interests of our users and to maintain unrestricted access to international scholarly research?

Above all we librarians still believe that even in the information age scholarly literature is a cultural value that has to be available to the entire research community. It cannot be marketed as just one more product like cars or medicines, where sales in well-funded regions supported by favourable markets and exchange rates have to subsidize less profitable merchandising in other parts of the world.

Further we librarians believe that publishers remain our indispensable partners. Without their daring spirit of enterprise, a substantial amount of scholarly literature would not be published at all. We are aiming not at confrontation, but at exchanging views in order to increase mutual understanding. Through national library associations and at the international level through IFLA we hope to get in touch with the publishers and with the national and international associations representing them. Representatives of booksellers should be engaged in this communication, too. In the '20s and '30s similar efforts were made by American librarians responding to excessive prices of German periodicals.[17]

Before these discussions, however, more investigative work must be done by librarians themselves. Test inquiries have shown that many librarians are not familiar with the differential pricing policies described above. We shall have to monitor publishers' pricing policies even more carefully in order to discern further extensions of differential pricing right away, to raise the alarm about them and to develop concerted countermeasures based on sound legal authority. Many librarians apparently do not know that at least within the Common Market publishers are not allowed to prevent low-priced purchases in the country of publication.

Later this year the IFLA Section on Acquisition and Exchange will compile instructive material concerning differential pricing and will send it to more than 100 of the most important libraries worldwide. Enclosed will be a form asking about libraries' experiences with differential pricing and any measures used to circumvent it, such as buying round. Results will be reported at the IFLA General Conference at Paris in 1989. Our objective is to provide information and promote a feeling of solidarity. There is no doubt that up until now the worldwide publishers groups have operated at a distinct advantage over the unorganized research libraries, which sometimes even lack effective unity at the national level. In the future librarians will need to become more aware of the problems and to reinforce solidarity in order to strengthen their position with the publishers.

We shall also have to inform our users, researchers and professors, who may only be familiar with low-priced subscriptions for individuals. We must explain to them why it is becoming more and more difficult for us, with our stagnant or sluggish book budgets, to acquire publications whose costs are spiraling because of publishers' differential pricing policies. At the same time, researchers are the indispensable partners of these publishers. They are the ones who provide the raw materials for the books and periodicals that are then sold, unfortunately, under conditions determined by factors of maximizing profits. Perhaps when they understand the situation, authors and editors will reexamine their policies and will choose publishers offering equal quality without differential pricing.

Publishers practising differential pricing policies put out an argument hitherto unchallenged that librarians are more concerned with the quality of publications than with their price,[18] because as intermediaries between publishers and users they simply have to purchase all publications that are urgently demanded. But publishers and authors should also be told that libraries are about to cross the "pain threshold" in far greater numbers than ever before, and that for financial reasons the purchase of these overpriced works will not be possible. This, of course, will hinder international dissemination and accessibility of research results of authors published in these expensive publications.

If attempts at negotiating with publishers and their associations fail, we should consider whether libraries can avoid at least part of the surcharges, those based on geographical location, by asking our foreign exchange partners to purchase for us on reciprocal terms in their own country and at the original price publications surcharged abroad. As a last resort we could consider concerted actions to boycott or cancel certain publications, so that in each region by mutual agreement only one copy of surcharged books and periodicals would be purchased.

But negotiations do not have to be hopeless if librarians close ranks. The Acquisitions Committee of the Deutsche Bibliotheksinstitut, representing German research libraries, in negotiations with the publisher VCH, sole distributor for 'Chemical Abstracts', 'Biological Abstracts', and 'Zoological Record', in the Federal Republic of Germany since 1986, succeeded in removing the surcharges imposed on these publications, bringing the price back down to the original U.S. list prices.[19]

A partial success was also reached in negotiations with K.G. Saur, the sole distributor of Bowker publications in German-speaking countries. Saur reduced the original surcharge by 20% to 30%. In this way it was possible to eliminate a considerable part of the price increases imposed since the time when German libraries could purchase the indispensable Bowker publications in the U.S.[20]

U.S. librarians got surcharges reduced on subscriptions to overpriced British periodicals.[21] Unfortunately I do not know whether national library associations in other countries have achieved similar results. In any case it is clear that concerted negotiations right at the national level can be useful. They would certainly be even more effective at the international level.

Notes

1 Most recently surveyed by: Astle, Deana, and Charles Hamaker: Journal Publishing: Pricing and Structural Issues in the 1930s and the 1980s, will soon be published in: "Advances in Serials Management". (For sending the manuscript I thank Charles Hamaker and Siegfried Ruschin, Kansas City, Missouri.)

2 Montag, Ulrich: Erwerbungsarbeit und internationaler Buchmarkt, in: "Zeitschrift für Bibliothekswesen und Bibliographie" 33, 1986, pp. 428–446, cit. p. 433.

3 Cf. Houbeck, Robert L., Jr.: If Present Trends Continue: Responding to Journal Price Increases, in: "The Journal of Academic Librarianship" 13, 1987, pp. 214–220.

4 Joyce, Patrick, and Thomas E. Merz: Price Discrimination in Academic Journals, in: "Library Quarterly" 55, 1985, pp. 273–283, cit. p. 279.

5 In 1988 the price of 'Tetrahedron Letters' was DM 5.100 for libraries, DM 324 for individuals; the price of 'Tetrahedron' was DM 4.700 as against DM 278. The lower prices are "available to individuals whose library subscribes at the Institutional rate". Thus subscriptions for individuals are not closely linked to those for libraries.

6 In 1988 the prices for the periodical 'Chemtech' published by the American Chemical Society were: Members $34, Nonmembers (personal) $55, Nonmembers (institutional) $252.

7 Montag, op. cit. p. 439.

8 Two publishers in Singapore (Singapore University Press and World Scientific Publishing Co.) permit discounts of 25% on subscriptions from developing countries.

9 US book price mark-ups, in: "The Bookseller", 18 March 1988, p. 1100.

10 Dörpinghaus, Hermann Josef: Auch deutsche Importbuchhändler gehen gegen gespaltene Preise vor, in: "Bibliotheksdienst" 22, 1988, pp. 25–27.

11 Montag, op. cit. p. 432.

12 Die Mitglieder der Erwerbungskommission des DBI: Die "exklusiven" Preise der Bowker-Publikationen im Vertrieb des K. G. Saur-Verlags, in: "Bibliotheksdienst" 22, 1988, pp. 22–25. Something similar is true for reference material published by Scribner and distributed by Macmillan.

13 Tuttle, Marcia: The Pricing of British Journals for the North American Market, in: "Library Resources and Technical Services" 30, 1986, pp. 73–78.

14 Cf. Astle and Hamaker, op. cit.

15 Cf. Dörpinghaus, Hermann Josef: Probleme mit den Preisen von Pergamon-Press, in: "Bibliotheksdienst" 21, 1987, pp. 623–629. Meanwhile Pergamon Press has changed its price list from five regional levels in 1987 to three different levels in 1988.

[16] Saur, Klaus Gerhard: Der Beziehungswandel zwischen Bibliotheksmarkt und Buchmarkt, in: "Bibliotheken im Netz", ed. by Richard Landwehrmeyer et. al., Munich 1986, pp. 73–82, cit. p. 73.
[17] Astle and Hamaker, op. cit.
[18] Astle and Hamaker, op. cit.
[19] Dörpinghaus, Hermann Josef: Chemical Abstracts und BIOSIS-Dienste ab sofort zu US-Katalogpreisen, in: "Bibliotheksdienst" 21, 1987, pp. 731–733.
[20] Die Mitglieder der Erwerbungskommission des DBI: DM-Preise für Bowker-Publikationen gesenkt! Kernprobleme bleiben ungelöst!, in: "Bibliotheksdienst" 22, 1988, pp. 124–126.
[21] Astle and Hamaker, op. cit.

66-ACQUIS-3-E

ACPAD — AN AUSTRALIAN CONTRIBUTION TO LIBRARY DEVELOPMENT IN SOUTHEAST ASIA AND THE PACIFIC

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ABSTRACT

The Australian Centre for Publications Acquired for Development (ACPAD) was established six years ago with the aim of collecting surplus books and journals available in Australia for distribution to tertiary institutions in Southeast Asia and the Pacific.

Funding from the Australian International Development Assistance Bureau allows for the employment of two staff plus casual assistance as required. In the last financial year ACPAD shipped 3000 cartons of material (approximately 75,000 items) to the 50 institutions now included in the ACPAD program.

The success that ACPAD has had in attracting donations, the positive comments received from participant libraries and the increasing requests for inclusion in the ACPAD program suggests that ACPAD has established an enviable record as an efficient and effective distributor of publications to institution libraries in Southeast Asia and the Pacific.

Introduction

The Australian Centre for Publications Acquired for Development (ACPAD) was established under the auspices of the Australian Universities International Development Program (AUIDP), now the International Development Program of Australian Universities and Colleges (IDP), in November 1982 to collect academic books, journals and associated materials for universities in developing countries. Funds are provided by the Australian International Development Assistance Bureau (AIDAB) through IDP.

The idea evolved from a request received by the Executive Director of IDP from a Vice-Chancellor of an East African university who believed that surplus publications might be available in Australia, if only some organisation could be persuaded to coordinate the collection and distribution.

After a series of meetings to determine the feasibility of such a scheme ACPAD was constituted in late 1982. An initial pilot scheme involving five universities in Indonesia, Thailand, Papua New Guinea, Fiji and the Philippines proved so successful that the scheme has been gradually broadened to include 50 universities in Southeast Asia and the Pacific. ACPAD policy is determined by the ACPAD National Committee whose members comprise university and college librarians, academics and IDP and ACPAD staff. This body has been very effective in providing advice on the problems which have confronted ACPAD and in determining the direction of the ACPAD program.

Over the past two years ACPAD has strengthened its association with IDP and its programs. IDP itself has evolved from AUIDP and the Australian-Asian Universities' Co-operation Scheme (AAUCS) which was established almost 20 years ago to provide access to the educational expertise and resources of Australia's universities and tertiary colleges to help strengthen institutions of higher learning in developing countries. IDP now operates an overseas program in Southeast Asia and the Pacific through which the Australian tertiary institutions provide aid in the field of education, primarily using funds allocated by the Australian International Development Assistance Bureau (AIDAB). The program includes a component for library development which takes the form of training programs, the provision of books and journals and consultancy visits by Australian librarians. By tapping into IDP's network of Australian academic librarians with experience and an ongoing interest in the region, ACPAD is better able to identify suitable participant institutions and to monitor the receipt and use of material sent to them.

How ACPAD operates

During the first 18 months of operation ACPAD was run by volunteer staff but it became apparent that to ensure a successful program, paid staff, preferably with a library background, would be required. Once this change was effected the organisation embarked on an extensive publicity campaign — by producing a brochure which was widely distributed, by addressing library conferences and by having articles published in a number of Australian professional journals. The increase in the number of shipments reflected the success of ACPAD in advertising its existence and in attracting donations. Shipments increased from 502 cartons in 1983/84 to 1814 cartons in 1985/86 and to 3000 cartons in 1986/87. The estimated value of the publications shipped in 1986/87 is $222,375; with an expenditure in that financial year of $72,000 it would seem that ACPAD is a very cost effective scheme.

When ACPAD was established it was decided that material should not be sent overseas unless solicited by the libraries participating in the scheme. Thus publications offered to ACPAD are listed and these lists are circulated to libraries in our program and it is from these that libraries select their requirements.

All libraries participating in our scheme are requested to complete a form which provides us with a guide to their subject interests. Libraries are also encouraged to supply a 'wants' list which is particularly useful in placing journals. Some libraries have sent a list of their journal holdings and from these we are able to determine whether particular titles may be required. At the moment we are working on the feasibility of computerising some of our operations, in particular we would like to put the serials holdings of our participating libraries onto a database so that this can be used as a basis from which we can determine the placement of serials donations.

When supplying a backset of a journal we do attempt to provide subsequent volumes. We have accepted approximately 350 serial titles from sources such as Deakin University, Melbourne University and the Cumberland College of Health Sciences which are converting some of their serials to microform and are donating their hard copy as it becomes available; a system which ensures continuity of supply.

When only a small number of monographs are offered to ACPAD we are able to list and offer these. However it is more common that several hundred or several thousand books are donated by a single source, usually a library weeding its collection. We have found that it is impractical to list such a large number of titles. On these occasions we write to a library offering them the entire collection on the understanding that unwanted material should be passed on to another library serving the public.

Requests have been received for audiovisual material and a small quantity has been sent to a number of libraries. In placing this material there is the obvious consideration of ensuring that it is compatible with the equipment operated in the libraries.

In accepting book donations we are careful to ensure the currency of the books on offer. We do fail in this endeavour sometimes and we have been alerted to this fact by our recipients. We have encouraged critical assessment from the libraries in our program so that we can tailor the scheme to maximise the benefits to the libraries.

An area that does come in for some criticism and which has not been resolved is in the method of offering publications. ACPAD sends a list to a number of institutions and treats requests on a first come first served basis. Unsuccessful requests are not acknowledged. Also we do not provide libraries with a list of material being shipped. Should we establish a database for the offering and placing of serials I believe that we will be able to overcome the problems in this area.

Response from overseas libraries

ACPAD is encouraged by the very positive reaction we have had from the libraries in our scheme. In response to a questionnaire circulated amongst our participants in 1986 all libraries indicated that they wished to remain in the program and that the publications sent to them were useful additions to their collections. Most respondents found ACPAD helpful in completing imperfect journal runs. It was suggested that we consider establishing a clearing house in a number of countries. This suggestion has been under

consideration from time to time but has so far been rejected because of the associated costs.

Many libraries pointed to their very inadequate reference collection and expressed a wish to receive more reference publications. As some reference texts are updated annually ACPAD hopes to solicit the previous discarded year and to supply libraries with some titles a year out of date.

We are constantly reminded of the paucity of materials available to primary and secondary schools and to the users of public libraries. There is a very valid argument that help is needed in these areas so that students proceeding to tertiary studies have developed the habit of using the library as a resource centre. However ACPAD, with a budget of $110,000 in 1987/88, has had to develop some guidelines within which to operate. Thus it decided to concentrate its assistance exclusively at the tertiary level and to establish some geographic boundaries, limiting the thrust of its operations to the Southeast Asian and the Pacific regions. We rely on advice from IDP Library and Academic Consultants and on IDP staff when considering an application for inclusion in the ACPAD program and we try to include universities located throughout Indonesia, the Philippines and Thailand.

Meeting the demands of libraries not now included in ACPAD's program

Through schemes such as those outlined below ACPAD has been able to respond to some requests which have been received from institutions outside both the IDP and ACPAD programs.

1. A Record of Understanding relating to a library assistance project in Burma was exchanged between AIDAB and ACPAD in June 1986. It was agreed that ACPAD would act as an agent to collect and despatch suitable publications to the Universities Central Library, Burma. Transportation costs are paid by AIDAB.
2. Increasingly ACPAD has been approached to ship one-off consignments to institutions in countries outside ACPAD's program. Many of these requests come from individuals returning from consultancy visits. As the Department of Foreign Affairs and Trade is keen to establish links with various institutions in countries in which the Department is represented, they have agreed where practicable to fund the cost of transportation of such consignments. In this way we have acceded to requests to send shipments to China, Vietnam, Laos, South Korea and Kenya.
3. ACPAD will also assist with the shipment of consignments to destinations outside our program if we can enlist help from the Royal Australian Navy or the Royal Australian Air Force to transport the material free of charge.
4. The American Chemical Society runs a book donation scheme called Project Bookshare. In 1987 the flood of donations was taxing their storage capacity and some of the excess was offered to ACPAD for distribution. Subsequently approximately 90 cartons of chemistry journals have been sent to institutions in Indonesia and the Philippines.
5. The Ranfurly Library Service recently began operations in Australia, based in Sydney. Following a visit by ACPAD staff to their Sydney headquarters ACPAD has been able to advise on where to send secondary school mathematics textbooks donated to the RLS and to co-ordinate shipments.
6. Following an approach from the Victorian State Committee of the Australian Advisory Committee on Bibliographical Services (AACOBS) Resources Sub-committee to act as distributor of surplus Australian Studies material ACPAD has agreed to assume this role. Publications will be offered first to the ACPAD supported universities and then more widely.

Comparison with other schemes

The mechanisms employed by ACPAD are quite different from almost all other book donation schemes in operation around the world. In the October 1986 issue of the ACU Bulletin of Current Documentation a number of book donation schemes are described:

the British ODA Books Presentation Programme supplies new books usually to an institution that is part of a larger aid project;

the English Language Book Society Scheme subsidises selected tertiary level textbooks for sale through normal trade channels by between one-third and half of their normal price;

the Ranfurly Library Service has been providing English language books to libraries in numerous countries around the world for over 30 years and has branches operating in the USA, Australia and New Zealand;

the Canadian Committee on Overseas University Libraries Support (COULS) and the Netherlands Universities Foundation for International Co-operation (NUFFIC) Periodical Project use some of the mechanisms employed by ACPAD although often there is an attempt to link a donor university with a recipient university.

Several societies, such as the American Chemical Society, have established donation programs whereby members of the Society are asked to donate their surplus publications which are offered to libraries overseas, however for the most part the recipient is asked by the societies to pay the shipping costs.

The International Centre for Theoretical Physics, the Third World Academy of Sciences, the International Council of Scientific Unions and the Association of Geoscientists for International Development are organising a workshop on increasing the flow of scientific literature to Third World institutions to be held in October. ACPAD, along with some 20 scientific organisations involved in book and journal donation schemes, has been asked to participate in this workshop which will endeavour to resolve such problems as identifying the best recipients, attracting donors, selecting material for shipment and handling shipments. Discussions will include possible joint services and their funding. This initiative in trying to co-ordinate book donation programs is to be commended.

A recent development in England has been the establishment of the Harold Macmillan Trust which is seeking to set up a scheme, known as the International Campus Book Link, designed to link African Commonwealth universities with counterparts in Britain.

The future

What then is the value of an organisation such as ACPAD? We are all aware of the necessity for an academic library to have a basic collection supplemented annually by book purchases and serial subscriptions. Where library resources are scarce students tend to rely solely on their lecturers' handouts rather than use the library as an alternative or additional source of information, while researchers may unnecessarily duplicate previous efforts or struggle with problems others have already solved.

Statistics for the holdings of the libraries in the ACPAD program reflect the lack of publications per student compared to an Australian institution of similar size. The table below illustrates this difference:

	No of Students Enrolled in 1986*	Total No of Holdings	No of Current Serial Subscriptions	No of Books Purchased/Donated in Last Year
Universitas Udayana (Indonesia)	15,276	74,075	124	4,899
Ateneo de Davao University (Philippines)	3,268	28,632	24	533
Silpakorn University (Thailand) 2 campuses	3,407	215,804	270	15,000
Australian National University	6,349	889,091	8,208	38,473
James Cook University of North Queensland	4,776	281,481	3,064	10,154
Swinburne Institute of Technology	12,000	205,000	1,900	8,800

* All figures are for 1986

During the five and a half years of operation ACPAD has sent approximately 250,000 publications to participant libraries; a small step in building up their resources. In the last 12 months 3,000 cartons of books, approximately 75,000 items, were shipped overseas. Of these 1085 cartons were sent to the Philippines, 965 to Indonesia, 654 to Thailand, 179 to Burma, 68 to the Solomon Islands, 24 to Laos, 16 to Fiji and 4 to Malaysia.

The future prospects for ACPAD are good although we will never be able to respond to all the requests for help nor will we be able to supply all the material required by libraries in our program. However with a more assured funding than some other schemes, ACPAD has established a solid base on which to continue.

I believe that we could follow the example of the group of scientific organisations planning a workshop on increasing the flow of scientific literature to Third World institutions by compiling a register of organisations in Australia which are involved in the provision of assistance to libraries overseas. This project could be undertaken by the Library Association of Australia. Jennifer Adams, in her paper presented at the IFLA General Conference in Tokyo in

1986, outlined some of Australia's library assistance programs in Asia. The lack of knowledge in the community that there are agencies collecting surplus publications leads to a vast amount of valuable material being discarded annually. A register may help to foster co-operation between schemes which in turn should enhance all our programs overseas.

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AUSTRALIANA AND CANADIANA: THE EXILE NARRATIVES

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ABSTRACT

After the rebellions of 1837–38 in Upper and Lower Canada had been suppressed a lengthy series of trials ensued at which the rebels who had been apprehended were tried and sentenced. Some were executed, but many were transported to Australia; 58 French Canadians to New South Wales and 119 "patriots" from Upper Canada to Van Dieman's Land. Eventually all were pardoned, but they had endured considerable hardship during their period of penal servitude.

Nine of the exiles published accounts of their experiences after their return home, seven in English and two in French. These intimate and illuminating personal accounts describe the Rebellion, the trials, the voyage to Australia on the Buffalo, and other ships, and the conditions of the penal colonies.

The English accounts were all published in the United States between the years 1843 and 1850 by small publishers and all of them are rare. The French ones were both published in Quebec, in 1845 and 1864.

"You, Benjamin Wait, shall be taken from the court to the place from whence you last came, and there remain until the 25th of August, when, between the hours of 11 and 1, you shall be drawn on a hurdle to the place of execution, and there hanged by the neck, until you are dead, and your body shall be quartered. The Lord have mercy on your soul!!!" Thus Benjamin Wait, a Patriot of the Upper Canada Rebellion, recorded the sentence passed upon him on August 11th, 1838 in a letter written from Ashgrove, near Oatlands, in Van Dieman's Land during April, 1840. It is contained in his Letters from Van Dieman's Land, Written during Four Years Imprisonment for Political Offences Committed in Upper Canada, published in Buffalo in 1843. This is the first of the so-called Exile Narratives, a series of books recording the experiences of nine political exiles (seven written in English and two in French) who were transported to Van-Dieman's Land and New South Wales for treasonous acts committed against the crown of Great Britain during the rebellions in Upper and Lower Canada of 1837–38.

Benjamin Wait's sentence of death was commuted to transportation for life through the efforts of his wife, Maria, and the direct intercession of the Governor-General, Lord Durham; the respite arriving at noon of the day the execution was to have taken place. He was then, in company with thirty-three other prisoners, taken to Quebec and thence to Liverpool in the hold of a lumber vessel. After some months in the hulk of the ship "York" at Portsmouth Wait was put on the "Marquis of Hastings", a contracted transport, and sailed to Hobart Town. A good portion of his letters chronicle, in detail, the appalling conditions on the ship; of 240 convicts on the "Marquis of Hastings" only 103 were still alive one year after the voyage. Wait secured a ticket-of-leave in August 1841 (again because of the vigorous representations of his wife to government officials) which allowed him some freedom of movement within the penal colony and managed to escape in a small boat in late December of the same year. After drifting at sea for thirteen days he was picked up by an American whaler, which was shipwrecked off the coast of Brazil, and finally was re-united with his faithful spouse in Niagara Falls. Ironically Wait received a pardon in March 1842. Maria died in May 1843 but Benjamin out-lived most of his enemies and his compatriots and died a prominent citizen of Grand Rapids, Michigan in 1895.

Wait's experiences were typical of most of the "rebels" who joined the forces of William Lyon Mackenzie in Upper Canada (now Ontario) and Louis Joseph Papineau in Lower Canada (now Quebec). Poorly organized as military campaigns the two rebellions consisted of a series of rather farcical skirmishes which had little effect on the development of responsible government in the Canadas. The British colonial administrators, including the Lieutenant-Governor, Sir George Arthur, fresh from thirteen years as the Governor of the penal colony in Van Dieman's Land, viewed the actions of the rebels as the treasonous incursions of American agitators (although Wait was born in Canada) into an established Canadian political system in Upper Canada and, in Lower Canada, an exploitation of a disaffected and ignorant French population. The patriots, however, saw themselves as part of a struggle for liberty, progress, and justice that they engaged in for idealistic reasons. Thus they objected strenously to being treated like common criminals, with whom they were, of course, lumped together in the penal colonies of Australia. From one point-of-view they were treated quite leniently: of the few thousand who participated in both rebellions 29 were executed, 8 were transported to Bermuda and 177 to Australia. All had been given full pardons by 1845.

Most of the prisoners from Upper Canada and all from Lower Canada were transported on the ship "Buffalo" which sailed from Quebec on the 28th of September 1839 and arrived in the harbour of Hobart Town on Valentine's Day 1840. Stephen Wright, whose Narrative and Recollections of Van Dieman's Land was published in New York in 1844, describes the reception accorded them by Sir John Franklin, the Governor. They were paraded before him in the black and yellow prisoners' jacket and pantaloons, with leather cap and shoes, which were not replaced when they soon wore out. Sir John, described as "a bon vivant, without any strong marks, save obesity and imbecility" made a little speech admonishing them to behave themselves and set them to work building roads. Most of the exiles speak kindly, if slightingly, of Franklin in comparison to his predecessor, Sir George Arthur, who is consistently portrayed as the "bloody executioner", who was reputed to have signed the death warrants for 1500 persons. According to Wait he was fond of hangings as an accompaniment to his breakfast. "These . . . executions took place on a scaffold he had erected in sight of his own dwelling; and, oh! what a sumptuous treat it must have been for his hateful soul, as he took his morning airing upon his piazza, to have gloated upon those distorted bodies as they hung suspended from the "lofty gallows" for the whole day, a spectacle for every eye." He was also accused of virtually eliminating the natives of Tasmania and when he was recalled from his tenure of office ten days of celebrations were observed.

In 1845 Leon Ducharme published the first of the French Canadian narratives; Journal d'un Exile Politique aux Terres Australes, in Montreal. The 58 French prisoners were sent to New South Wales, rather than Van-Dieman's Land, although they narrowly escaped being incarcerated on Norfolk Island through the intercession of the Roman Catholic Bishop of Sydney, John Polding. They were held in the stockade at Longbottom and worked for the government on the Parramatta road for two years, eventually obtaining tickets of leave and finally pardons in 1844. Eventually all except three returned to Canada; two had died and one, Joseph Marceau remained in Australia and contributed a large number of descendents to the developing nation. The French Canadians were treated somewhat more leniently than their English counterparts. Ducharme records that his group had enough freedom to engage in a black market in shells, which they gathered at night and sold to boatmen for making lime. He became an overseer and was able to negotiate contracts for the exiles to be employed directly by government officials for wages. By these arrangements they were able to accumulate enough money to pay for their passage home, an important consideration as a pardon seemed an empty reward to an exile stuck in the colony with no money.

Linus Miller, whose Notes of an Exile to Van Dieman's Land appeared in Fredonia, New York in 1846, was one of four prisoners to arrive on the convict ship "Canton" from Portsmouth. His vividly written account describes the convict system in considerable detail and his own attempt to escape the unendurable conditions by "taking the bush". Eluding the watchman and scaling the wall of the prison yard was easy: "Free! free from prison walls; free from British tyranny, for a season at least, and Hope whispered, falsely whispered, forever. Alas! alas! that sweet angel of mercy was luring us on to slavery, wretchedness and woe, incomparably greater than we had yet experienced." Once "free" the fugitives problems had just begun. It was impossible to escape from Van Dieman's land, except by boat, and the interior of the island was most inhospitable. Part of the penal system established by Arthur operated on the principle of "set a thief to catch a thief" and thus the fugitives were hunted not only by the military authorities but also by their fellow convicts, the rewards for the betrayal being tickets of leave and pardons. Miller and his companion were betrayed and, after the briefest of trials, were sentenced to two years hard labour at Port Arthur. After a few days on the treadmill the two proceeded in irons to Port Arthur, the most notorious labour camp of the colony, and

were put to work hauling logs. Punishment for all offenses was flogging and the lash was liberally applied. Miller survived to secure his pardon and landed back in Newcastle, Delaware on January 25th, 1846.

All of the Exile Narratives, with the exception of Wait's, may be accurately described as "rare", and one of the rarest is Samuel Snow's The Exile's Return, published in Cleveland in 1846. Two copies are recorded by Ferguson in Australia and six are known in North America. The factors of rarity are not hard to establish. Most of the narratives were issued by small publishers in small cities in pamphlet form. Their distribution was obviously limited and they perished through neglect. Snow's account is notable for its particularly vituperative account of Arthur's penal system and a lengthy description of bush rangers, including the famous Martin Cash.

Another very rare narrative appeared in two editions in Buffalo, New York in 1847 and 1848; Robert Marsh's Seven Years of My Life, titled on its cover the New Book of Martyrs. Ferguson records one copy of each edition and three copies of the second are held by institutions in North America. Marsh provides considerable information concerning the hardships of the ticket-of-leave men in Van Diemen's Land. Although the ticket provided some freedom to move about it confined the prisoner to one district and application to change districts had to be made to a magistrate. If, as was often the case, no work for wages was available the ticket-of-leave man was forced to live off the land, eating kangaroos and stealing flour and tea. The line between being an indigent semi-free prisoner and a bush ranger was very faint and almost all escaped prisoners were re-captured. Martin Cash, who is often mentioned in the Exile Narratives, became a kind of folk hero and established the romantic image of the bush ranger with an account of his life and adventures published in Hobart in 1870. His tale is unusual because he survived incarceration on both Van Dieman's Land and Norfolk Island and died peacefully in 1877.

Daniel Heustis' A Narrative of the Adventures and Sufferings also appeared in two editions, Boston, 1847 and 1848. Heustis was captured at the Battle of Prescott and sent into exile on board the "Buffalo". He makes several references to Wait's Letters and uses some of the descriptions of the island from that source. Heustis, as a ticket-of-leave man, was employed for a time in hunting two bush rangers named Jeffs and Conway. "We were divided off into parties of six or seven, each man armed with a musket and five rounds of ammunition, which was all the government dared to allow us, lest we should use the means thus placed in our hands to regain our own liberty". After seventy-three days in the bush, sleeping in opossum skin robes, they heard that the bush rangers had been captured by another party, which included Stephen Wright. His reward was a pardon, passage to England and $166.66. Jeffs and Conway were hung.

William Gates published his Recollections of Life in Van Dieman's Land in Lockport, New York in 1850. Although styling himself a "Canadian Patriot", Gates emphasizes the American connection with the rebellion. At Sandy Bay station, where the prisoners from the "Buffalo" were disembarked, "our coming had attracted a large crowd, who were all agape to see the rebel Yankees, of whom so much had been heard, and yet so little was known. As the news spread into the country, men and women flocked in, even from a distance of one hundred miles, to gratify their curiosity". The Yankees were also singled out for attention by Sir John Franklin. The ship's Captain informed him that these were American citizens and he proceeded to tell them that their agitation of the peaceful subjects of Her Majesty rendered their crimes worse than murder and that their punishment would fit the crime. Gates then goes on to describe in gory detail the methods of road manufacture in the colony. Gates became a special constable after receiving his ticket of leave but managed to avoid the duty of hunting for bush rangers. After his pardon Gates worked in Australia shearing sheep and eventually accumulated enough money to secure passage to the United States on a whaler.

The last Exile Narrative to be published during the nineteenth century was the other French Canadian account. It is called Notes d'un Condame Politique de 1838 by Francois Xavier Prieru and it first appeared in the journal Les Soirees Canadiennes in 1864. Prieur was a shop keeper and deeply religious. He was pressed into the service of Les Association des Chasseurs as the "Castor" of his village and captured easily. He says that he began his notes in 1838, continuing them until 1846, the year of his return to Canada. His account contains the usual details of his trial, sentence and transportation, including a very detailed description of the "Buffalo", with a diagram of the deck on which the French Canadians were confined. At Longbottom Prieur, after being given a ticket of leave, was employed making confectionary by a French merchant, as a gardener, and in the Canadian sawmill near Paramatta. He was forced to remain in Sydney for several months after his pardon had been granted for lack of funds but through the kindness of a French merchant, he was able to get a passage to London and finally return to Quebec.

As historical documents the Exile Narratives are important for two reasons. They provide first-hand accounts of the rebellions in Upper and Lower Canada and they provide detailed descriptions of the conditions in the penal colonies of Van Dieman's Land and New South Wales. Although somewhat repitious, because they describe the same events and conditions, each provides an unique perspective. The narratives written by Americans are, not too surprizingly, strongly republican in tone and very anti-British. Clearly Sir George Arthur was not quite as monstrous as these portrayals would indicate, nor was Sir John Franklin as gross and stupid as the narratives describe him. Their literary quality varies considerably but all of them share a compelling immediacy of style.

Due to their comparative rarity these works have often been overlooked by modern historians, although George Mackaness emphasized them as important desiderata for Australian book collectors and all are included in Ferguson's great bibliography. None are included in Jonathan Wantrup's Australian Rare Books 1788–1900.

The collecting categories of Canadiana and Australiana have been actively pursued for over a century. They often overlap; the first editions of the accounts of Cook's three voyages being only one obvious example. The Exile Narratives, however, provide a direct link between two British colonial nations whose historical and cultural developments, different as they are, exhibit striking and instructive parallels.

The Thomas Fisher Rare Book Library at the University of Toronto has a particular interest in the parallels between Australiana and Canadiana because of its Sheldon Collection. William Sheldon's family emigrated from England to Australia in 1850 and he was born in Melbourne in 1898. He served in the Australian Army during World War I (recording in a biographical sketch that although his was a mounted unit he wasn't allowed a horse until after the Armistice was signed) then returned to Australia to study engineering. He moved to the United States in 1923 and to Toronto in 1926. He pursued careers in engineering, grand opera and the theatre and in later life made several television commercials. His principal hobby was book collecting and he assembled a library of Australiana of some two thousand volumes, which was acquired by the Fisher Library in 1982. Mr. Sheldon died in December 1987.

This collection provided the Library with the basis of a research collection, which was immediately supplemented by items already held. It contains several of the primary sources for the early history of the colony; the First Fleet narratives of Philip, Hunter and Collins as well as the accounts alleged to have been written by George Barrington. King's Narrative of the coasts and MacGillivray's Narrative of H.M.S. Rattlesnake are present along with the standard accounts of the exploration of the interior of the continent. A few other highlights are copies of Clark's Field Sports . . . of New South Wales, Boldrewood's Robbery Under Arms (a fine copy), and two early editions of Hume's Mystery of a Hanson Cab.

The Sheldon Collection also increased the Fisher Library's collection of the Exile Narratives, the direct link with the Canadiana collections. We have, however, become increasingly interested in the research potential of other parallels, both historical and literary, and will attempt to develop the collection. A few of the most interesting areas are the accounts of interior exploration (one is struck by the similiarities of expeditions to the Arctic and the Outback despite the extreme differences in the climate), the influence of the development of agriculture, the significance of the railway, and the economic and social consequences of gold rushes.

Special collections for research need to be developed with imagination and dedication and the same kind of imagination can be employed in their use. Inter-disciplinary research is now a norm of academe and institutions have a responsibility to anticipate research trends in the humanities. The Exile Narratives provide only one, though perhaps the most obvious, instance of the possibilities of collecting Canadiana and Australiana.

SOUTH PACIFIC BOOKS AND THE CONCEPT OF RARITY

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ABSTRACT

The strongest collections of publications in Pacific Island languages are held in research libraries on the fringes of the region. The example of the Cook Islands imprint indicates a degree of rarity which must lead these libraries into discussion of the way in which "we can extend our role beyond bibliophily into that of an active research library" by providing the bibliographic infrastructure, research into printing history and dissemination of surrogate copies.

In the Western European tradition of scholarly librarianship rare book collections generally contain pre-1801 publications, first and special editions, association or other special copies and the products of fine printing presses. This tradition would seem to exclude most South Pacific books, for, although documentation of the area began with Magellan's penetration of it in 1521, it was only with the discovery and exploration of Tahiti by Wallis, Bougainville and Cook from 1767 to 1777 that the prototype South Sea Island took hold of the Western world's imagination. Visual and word pictures, documentation and interpretation of the region have flowed from the presses of the world ever since, but printing in the area, and especially in the languages of Pacific Islanders, did not start until missionary presses arrived in the early 1800s.

Generations of researchers have studied in the natural laboratory which geographical and cultural fragmentation has created in the Pacific. They have been supported by the collections of the great research libraries, and especially by Pacific research libraries, which were established comparatively recently with the aim of creating comprehensive collections relating to Oceania as a basis for research work by the many universities and organisations engaged in Pacific studies. The University of Hawaii Library, the B.P. Bishop Museum, Mitchell Library, the Australian National Library, and the Alexander Turnbull Library share with an increasing number of local libraries and museums the task of preserving and promoting the documentary heritage of our region.

This paper is written from the point of view of one of those research libraries and explores the consequences for our management of South Pacific books which result from an increasing knowledge of the collections, the cultures which created them, and the contemporary demands placed on them. It would in any case be superfluous to add to the existing general surveys of Pacific literature. H.E. Maude's essays, Pacific documentation: an introductory survey and Bibliographic control of Pacific manuscripts are classics. The work of bibliographers Petherick, Taylor and O'Reilly is augmented by popular overviews such as A. Grove Day's Pacific islands literature: one hundred basic books. Ian Willison, in Publishing in Oceania a British librarian's perspective, discussed the passing of control of the way in which the Pacific Islands are presented to the world through literature from Europe to the islands themselves. The challenges of being a Pacific publisher today have been outlined by Kevin Walcot in Perspectives on publishing, literacy and development, and the continuing difficulties librarians face in collecting contemporary material will be further discussed in a post-IFLA 1988 seminar.

Although my focus here is the printing in Pacific Island languages, points raised in the more general discussions are relevant. The conditions: cultural, geographic and political under which any material is published in the Pacific have always counted against the systematic collection, preservation, and documentation of the regions's publications and contribute to their rarity. The Pacific Ocean comprises one third of the earth's surface, yet, (excluding Papua New Guinea) its total land mass is only that of Cuba. Papua New Guinea and the Solomon Islands share among 3.5 million people one quarter of the world's known languages. Historically, political, religious and commercial ties link the Pacific peoples with Britain, USA, Japan, Germany, Spain, Australia, and New Zealand.

Ian Willison outlines a role for research libraries which, he says, "are involved in a grand collaborative enterprise whereby the techniques of writing, of publishing, of critical scholarship are brought to bear on the progressive ordering of the world's experience of itself".[1] He supports the idea of a library's collection as an archaeological stratum acting profoundly on the intellectual ordering of experience in its own right and with others. The recent acquisition of a set of papers and publications relating to the Cook Islands forced a re-evaluation of our whole Pacific Island languages collection and suggested practical ways by which we can extend our role beyond bibliophily into that of an active research library.

The Cook Islands is now an internally self-governing state in free association with New Zealand and its fifteen islands lie scattered between Samoa and the Society Islands. When first sighted by Mendana in 1595 they were populated by the descendents of successive migrations from the Marquesas, Tahiti and Samoa. James Cook explored and named them on his second Pacific voyage. In 1821 the Rev John Williams of the London Missionary Society left two Tahitians there to begin the task of converting the people to Christianity. From 1827 permanent mission stations were established and villages were formed as the people were encouraged to imitate a European way of life based on Christian legal codes.

Just as elsewhere in the Pacific the chief means of instruction was the distribution of vernacular literature. Vocabularies and grammars, catechisms and Biblical texts, hymnals and prayerbooks were followed by the full translation of the Bible and, almost invariably, Pilgrim's Progress. Initially, printing in Cook Islands Maori was done at the LMS press in Tahiti; then in 1834 Charles Barff's cast-off press and a few fonts of type were sent to Rev A. Buzacott. With the advent of the French the station in Tahiti declined and Rarotonga became the centre for Eastern Pacific mission work, including printing. In 1837 an institution was established at Takamoa on Rarotonga to train Pacific Islanders for mission work throughout the Pacific. As in most mission fields a period of intense interest in reading and writing, fuelled by a belief that literacy gave access to European material culture, gave missionaries an unrealistic sense of effectiveness. Nevertheless theirs was the main political and social influence in the islands until 1888, when conflicting forces convinced Britain to appoint a British consul. In 1900 the Cook Islands were incorporated within the boundaries of New Zealand, and increasing pressure for self-determination led to the establishment of an independent Cook Islands Parliament in 1965.

In September 1987 a Miss Hall wrote to the Turnbull Library offering us some papers and books belonging to her father, Percy Hall, who had been in charge of the LMS School in Rarotonga in the early 1900s. Miss Hall expected that we would want to dispose of most of the collection. In fact the three cartons which arrived contained extraordinarily exciting material covering both the early mission period and the difficult time, for the mission, of the introduction of Consular administration. It was also truely multi-media: manuscripts, books and printed ephemera; sketches, maps, song-books and some glass negatives have entranced the staff of almost every section of the Library.

A stack of manuscript notebooks addressed to "Atoni" (Rev. Hutchin) containing traditional histories written by Rarotongan elders match a similar set in the Polynesian Society Papers[2] from which Rev. William W. Gill published his accounts of Cook Islands history. Included is a previously unknown manuscript by Ta'unga whose other writings have been edited by Marjorie and Ron Crocombe.[3] School records from Takamoa College during 1904 to 1920 include school work, letters to the missionaires, and records of recent historical events. From Tereora School there are admission registers, essays, diaries and letters from 1913 to 1915. For a time Hall was in charge of the Mission Press. An account book labelled "Karere" and Printing Department 1901–1916 provides details on the costs of running the Press and elsewhere records give direct evidence of titles printed and copies sold. (It is not an extensive record but is the only first-hand evidence of what was being printed, beyond the missionary reports to headquarters, that I have encountered.)

The Hall collection also contained a carton of printed items, some in multiple copies tied up in paper bundles "as published". Some show the typical signs of life in the tropics, being mouldy and worm eaten. Many are signed, inscribed or annotated by people associated with their production; e.g. the 1846 Pilgrim's Progress[4] annotated and marked up in W.W. Gill's handwriting in preparation for a later edition. In total there are about sixty items in Cook Islands Maori and forty other related English language publications, official publications, and issues of serials.

Difficulties encountered evaluating this collection, are symptomatic of the level of bibliographic control of and research into Pacific Islands language publications in general. The "standard" bibliography in this case is by H. Bond James (one of Halls' LMS colleagues) A Bibliography of publications in Cook Islands Maori[4] a draft listing issued by the South Pacific Commission in 1953. (In 1971 Maude had announced that W.G. Coppell's major bibliography on the Cook Islands was close to publication[5] but earlier this year another Pacific bibliographer, Philip Snow, indicated that it

was still several years off.[6] My other tool was our own catalogue. In the Alexander Turnbull Library the Pacific Island language collections are shelved chronologically within each island group. Titles and a few subject entries appear in the main catalogue but the most useful record is the shelf list, although even here the record is distressingly brief. There are seventy-three items, excluding serial articles, listed by James, but in my comparison with our shelf list revealed a further thirty items not recorded by him. It was starting to find that the Hall collection contributed another thirty items not recorded in either list, thereby increasing by one third the known imprints!

I then attempted to compare other collections against the James bibliography, supplementing his holdings statements with information from the published catalogues of the B.P. Bishop Museum[7] and the Grey Collection at Auckland Public Library.[8] Holdings for the Mitchell Library (whose published catalogue contains reference to a "Tentative list of books written in or written about the Cook Islands" but not cards for the items themselves) the British Library, the University of Hawaii Library and the Cook Islands National Library could not be ascertained. The results were: National Library of Australia (11 items) Ferguson Collection (37, now in NLA) LMS, Sydney (5) B.P. Bishop Museum (14) New York Public (6) American Bible Society (4) School of Oriental & African Studies, London (10) Percy Hall Collection (17) Alexander Turnbull Library (45 plus Hall = 62) H. Bond James (367) Seventh Day Adventist, Rarotonga (6).

Any observations based on my research must be offered cautiously but two points are clear: over half the items in the list are represented in library collections by only one or two copies, and most collections have unique holdings. In addition each is likely to contain items not recorded by James (e.g. the Grey Collection has 10 unlisted items).

The example of the Cook Islands leads to some wider conclusions. The strongest collections of publications in the languages of the Pacific are held in research libraries located on the fringes of the region. Within these libraries they are so briefly identified and described that the published catalogues cannot be relied on as a true indication of our holdings or be used for purposes of identification and comparison. The bibliographic tools to assist are likely to have been published in small print runs. These may meet the needs of those with access to copies held in research libraries but as they are either expensive or scarce from the time of publication they are especially difficult for libraries and individuals in the Pacific to acquire. Several large scale works have been in preparation or close to publication for years. (Of the ten or so mentioned by H.E. Maude in 1971[9] only 3 appear to have been published since then.) Something must be done to assist the publication of bibliographies of the region. In particular even the most basic draft listings of the known publications in Pacific Island languages or the holdings of individual libraries would be of great value to libraries and other collectors in assessing their collections. Although some bibliographies include histories of the associated presses very little has been written about the printing history and spread of literacy in the Pacific, apart from Lingenfelter's Presses of the Pacific Islands 1817–1867. ABHB has had only limited success for the entire region in the past 15 years.

Political unrest may constitute a threat to library collections but cultural revival and the desire for independence is also creating a market for information about the past. In New Zealand the 5000 *Kohanga Reo* language nests set up to teach Maori children their own language and culture have been the spur for the first genuine Maori book publishing since the introduction of printing over one hundred and fifty years ago.[10] In Hawaii the *Punana Leo* movement may have a similar effect, creating an upsurge in interest in the language and its publications.

Bernard Smith among others has shown how important the images of the Pacific were in shaping the Western mind's perception of people and place. Missionaries are said to have found visual aids essential for conveying the concepts of the Bible.[11] There is, however, little examination of the rising impact of radio, pirated TV and video and their adoption as a means of communication. Neil Postman lamenting the decline of the age of typography in 20th century life speaks of the clashes of reasonableness (the importance of oral testimony in a court of law, for instance) even after five hundred years of printing.[12] In the Pacific, where printing is only one hundred and eighty years old and was engaged in for Pacific Islanders rather than by them, audio visual technology supports the tradition of oral communication. The Pacific "laboratory", containing examples of changes in communication systems from the original oral cultures and proliferation of languages, to the assumption of common languages (for example English and wantok or pijin) and suggesting the possibility that print will be by-passed, is thus attracting another type of research.[13]

The best means of ensuring that copies of publications are available to support this research is open to discussion. Micro-reproduction would seem an obvious answer, and the Pacific Manuscripts Bureau would be an ideal co-ordinator. However, Pacific libraries do not all have microfilm or fiche readers, so a paper bi-product would be a necessary part of any project.

These observations have a bearing on our perception of the role of the research library in the Pacific: a re-evaluation of the way in which we treat these books may be necessary. The publications may not be part of our own national imprints but our geographic, cultural, and political ties with the Pacific could be used to justify increasing resources allocated to the care of Pacific collections. Even without such ties, sheer scarcity imposes a responsibility. In the "climate" of the Pacific both cyclones and coups render any library collection vulnerable. We cannot assume that someone else will be doing the job. The nature of our collections, our relationships with the people of the Pacific, the interests of our researchers and our own desire to be part of "the intellectual ordering of experience" demand a more active role. I look forward to a continuing discussion with colleagues on the form that role might take.

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SELECTION AND ACQUISITION OF SERIALS: THE IMPACT OF NEW TECHNOLOGY

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ABSTRACT

Technological developments and an increasing range of serial automation options are providing libraries of all sizes with an opportunity to manage more efficiently the procedures associated with the selection and acquisition of serials. In addition to automating many labour-intensive acquisition procedures, the management information derived from automated serials systems is providing useful information for collection development purposes.

In this paper the present state of technological development in the areas of serial selection and acquisitions is described. The concerns of selecting and acquiring materials representative of the new technologies are also considered.

INTRODUCTION

In recent years, the two major preoccupations of serials librarians have been the development of automated serials systems and collection development in an era of shrinking budgets. In this paper, I propose to describe the present state of technological development in the areas of serial selection and acquisitions and to suggest how developments in these areas are providing valuable sources of information for collection development purposes. The concerns of selecting and acquiring materials representative of the new technologies will also be considered.

AUTOMATED SERIALS SYSTEMS

The initial and most pervasive application of new technology to serial acquisition procedures is the automated serials system. Although automated serials systems had been developed earlier, the widespread move to automate serial acquisitions and processing has occurred since the mid 1970s. In many libraries, manual serial operations had been largely unchanged for many years and were extremely labour-intensive and expensive to maintain, particularly as salary costs have accounted for an ever increasing portion of the library budget. The combination of increasingly complex manual operations and the gradual attrition of staff has often led to a decline in a library's ability to perform acquisitions and processing tasks. Inefficient, or failed, performance in serial acquisitions and check-in affects a wide range of services based on a library's collections. In many cases, the introduction of efficient automated systems offers the only feasible solution to the effective management of the serial collection. Advances in computer technology and software development are providing a more sophisticated and wider range of automated serials system options.

Stand-alone systems

Most of the earlier attempts at serial automation were single function, stand-alone systems, usually developed internally within the computing centre of a library's parent institution. Many were crude but the development and use of these systems provided libraries with early serial automation and systems analysis experience which have influenced the design of later systems. Many of these early systems have been superseded by newer, often commercially available systems. Although locally designed systems have the significant advantage of being designed for a particular library application, the substantial resources required to establish, maintain and upgrade these systems have, in many instances, compromised their viability.

Bibliographic utilities

The development of bibliographic utilities has provided another option for automation of serial acquisitions. The fortunes of the major North American systems in this area — OCLC, RLIN and WLN — are well documented. Although such bibliographic utilities were primarily developed to support shared cataloguing, acquisitions modules have generally become a feature of them. It is probably fair to say that the centralised approach offered by bibliographic utilities is often not the best vehicle for libraries wishing to automate serial acquisitions and check-in. In 1985 OCLC moved away from its centrally-operated Serial Control Subsystem in favour of the microcomputer-based SC350 system, which offers the advantages of a locally operated system with links to the OCLC Online System. Major advantages of bibliographic networks include the size and quality of the data base, and the sharing of system development costs. These advantages are offset by a loss of control for individual libraries and the need to conform to imposed standards.

Commercially available systems

Perhaps the most significant trend in serial automation in recent years has been the rapid development of commercially available systems. A variety of systems at varying costs now cater to libraries with serial collections of all sizes. Integrated library systems offer an opportunity to automate the majority of technical services activities and many offer an online public access catalogue (OPAC). Systems such as GEAC, CLSI, and NOTIS have become familiar names in the literature of serials librarianship. Integrated library systems consist of several modules performing library functions such as cataloguing, circulation, acquisitions and serials. A common data base supports all modules. They have typically developed from an initial application such as circulation or acquisitions. Demand for new applications or modules has grown, and system vendors have responded by adding new modules and upgrading existing ones. The development of acquisitions and serial check-in modules within integrated systems has provided many libraries with a first opportunity to automate serial acquisitions and processing. The connection of integrated systems to bibliographic utilities provides a source of bibliographic data to support serial acquisitions and control. One significant advantage of integrated systems is the large choice of systems available. Keen competition in the marketplace has encouraged system vendors to improve their products to maintain existing clients and to attract new clients. Clients are often able to influence the direction of system enhancements.

There is a growing number of microcomputer-based software packages providing a serial automation option for small and medium sized libraries. These relatively inexpensive systems offer considerable flexibility and it is often possible to link these systems with existing local systems and bibliographic networks. Linking of micro- and minicomputer-based serial systems to other systems through local area networks is another option.

Systems supported by serial subscription agents

An emerging trend in serials automation is the development of systems designed and marketed by serial subscription agents. While libraries have moved rapidly toward automated serials systems, subscription agents have also established automated systems to control their records. It is a natural progression that subscription agents would seek to connect their automated systems with local library systems, to offer online access to their files and to encourage online ordering and information exchange through electronic messaging. Two major systems in this category are the Faxon LINX system and Blackwell's PERLINE system.

Interfacing of systems

The choices available for automation of serial activities are extensive. In tandem with the development of automated serials systems, significant progress has been made in the area of interfacing automated systems. Reasons for interfacing are varied and include the need to load bibliographic records from a bibliographic utility into a local library system and the need to transfer records from a stand-alone serials system to other automated systems in the library such as circulation, cataloguing and OPAC. Questions of the compatibility of systems and the success of interfacing systems remain major concerns in library automation planning. Ongoing development of Open System Interconnection (OSI) standards is expected to enhance interfacing options.

IMPACT OF NEW TECHNOLOGY ON SERIAL SELECTION AND ACQUISITION PROCEDURES

The range of potential applications of automated serials systems to the processes of selecting and acquiring serials can best be appreciated by perusal of a comprehensive work such as Library systems evaluation guide[1] published by James E. Rush Associates. The checklist of desirable functions and features listed in that guide ought to convince even the most ardent supporter of manual serial operations that new technology is providing the means to re-establish real control over serial activities. Existing systems vary considerably in the number of features offered and, as the demand for and knowledge of automated serials systems grows, system vendors are responding with improved, more comprehensive systems. There is considerable information in the literature of serials librarianship on the capabilities and performance of particular systems. The survey Serials control in libraries: the automated options[2] conducted by Judy McQueen and Richard Boss provides an excellent starting point for those libraries wishing to explore serial automation options.

Selection

At this point, I will mention some of the significant effects of automation on the traditional library procedures of serial selection and acquisitions. Apart from user requests, the selection librarian has traditionally relied on printed selection tools, publisher blurbs and sample issues for information on new and changed serial titles. Printed selection tools such as New serial titles, Ulrich's international periodical directory, national bibliographies and subscription agent lists have been the backbone of serial selection for many years. Online access to serial title information provides the additional benefit of up-to-date information on current title, price and availability. How can current serial title information be accessed online? Some subscription agents offer subscribers access to their data bases through dial-up connection or networking. For example, Faxon offers subscribers access to its DataLinx and INFOSERV data bases for the purposes of online enquiry, online ordering, and electronic messaging. Those libraries using systems such as LINX or PERLINE as stand-alone systems or as part of a distributed network are able to undertake a range of serial selection and acquisition tasks based on the subscription agent's data base. Use of these systems is, of course, dependent on a library's commitment to the services of a particular subscription agent.

Another area in which selection librarians are being served by technological development is the emerging area of CD-ROM (Compact disc-read only memory). An example of the application of this technology to serial selection is Ulrichs plus on CD-ROM. With quarterly updates, this product provides more up-to-date serial information than the annual print versions. A library's ability to use CD-ROM products is dependent on acquisition of appropriate hardware to read the disc. Another consideration is the availability of the Ulrichs data bases through online search services such as Dialog and BRS. The relative costs of these options need to be evaluated in a particular library.

Automated systems are also assisting the selection librarian in the developing area of co-operative acquisitions. With restricted funds for acquisition of new serial titles and pressure on many libraries to reduce or re-evaluate their existing collections, the availability of serial titles in other libraries is often an important factor in the serial selection and deselection process, particularly for marginal or expensive titles. In today's resource-sharing environment, up-to-date serial union catalogues are an important source of information on the holdings of other libraries and, in many countries, online access to union catalogues is now readily available through bibliographic utilities and other regional networks. In some cases, it is also possible to access information on items on order in other libraries through the in-process files maintained by bibliographic utilities and other networks. An interesting development in recent years — starting in North America and spreading to other countries, including Australia — has been the adoption by many libraries of conspectus definitions to describe their collecting policies in a standard way. Co-operation between libraries in collection development is greatly facilitated if there is an agreed standard to describe the collection strengths and level of acquisitions in particular libraries. The RLG Conspectus System has provided an excellent model for development of the conspectus concept in regions outside the United States. The mounting of conspectus data online provides up-to-date collecting information on member libraries with various access points including subject, class, collection level, and institution.

Ordering

The procedures associated with the ordering of serial titles are well suited to automation. In manual systems, it is common for libraries to maintain several different records for each serial title. Automation of ordering ought to require only one machine-readable record which can serve a number of purposes. The initial record is often created or obtained from an external source at the time of selection. Through addition of order, binding, and check-in information, this augmented record may serve as the preliminary catalogue record, the serial order record, the serial check-in record, and the binding record. There are several ways in which automation may be applied to the process of ordering a serial title. In automated systems, the creation of bibliographic and order details leads to the automatic production of an order, either in print format or on magnetic tape. In both cases, the need to rekey information is eliminated and order production is quick. The delay in despatching a printed order or magnetic tape through mail or courier services can be avoided if the order is sent to the supplier through electronic messaging. In addition to the automatic production of orders, an automated serials system provides built-in checks in the order record to alert acquisitions staff that an order has not been filled within a specified period.

Financial control

The availability of accurate, up-to-date commitment and expenditure information is a high priority for acquisitions librarians. Most automated acquisitions systems offer the following features: up-to-date commitment and expenditure figures in each book vote category, automatic conversion of commitment and expenditure in foreign currencies to local currency, automatic deletion of commitments when the actual price is entered or an order is cancelled, and maintenance of expenditure records. Regardless of whether the financial control component of the system is to be used for the processing and payment of accounts, up-to-date financial information generated from the system will provide a sound basis on which to monitor and plan expenditure.

Check-in

The creation of the order record is the basis for automated serial check-in. Most systems operate on prediction of the next expected issue. This works well for serial titles with known frequencies but does not accommodate irregularly published titles. The usual method of dealing with the latter category is to set a default for a specified period of time after which, if the next issue has not been received, a claim alert is generated. Scanning of optically readable characters and barcodes printed on serial issues offers an efficient check-in method with a substantial saving in keying.

Claiming

Whereas automated serial check-in may not, in all cases, lead to a reduction in the number of staff required to process the serial intake, there is no doubt that it provides the opportunity to undertake timely claiming of overdue serial issues. In many libraries, routine claiming has not been possible with manual systems due to limitations in the staff resources available for this activity. The result has been a significant number of missed issues and a decline in the library's ability to provide service from the serial collection. Automation provides the opportunity to regain control of this important task. In a similar way, improved control of binding activity is made possible in automated serial systems through the routine production of binding alerts and the maintenance of binding records. There is little doubt that automated serials systems eliminate redundant keying of data. The bibliographic component of the acquisition record can be used as the preliminary catalogue record. The order component of the acquisition record serves various purposes including order record, financial record, check-in record, and binding record. Supporting files such as the supplier file, vote file and currency file contain information that can be automatically inserted into order records through the use of codes and defaults.

STANDARDS

The growing use of automated serials systems and the need to facilitate computer-to-computer communication between systems have encouraged the development of standards in the areas of serial identification, order and claim formats. The aim of SISAC (Serial Industry Systems Advisory Committee) is to develop and promote the use of a standardised, machine-readable format for unique identification of serial issues and articles within issues and for ordering and claiming of serials.

MANAGEMENT REPORTS

Automated serials systems do more than automate existing manual procedures. Automation of serial acquisitions offers also a range of report generation features which have often not been possible in manual systems. These include various management reports including statistical reports, accession and other lists, financial reports, and performance reports. Some systems offer format options for report production and have the flexibility to vary reports and to generate new reports as required.

Some examples of statistical reports generated in automated serials systems include: number of records added, number of titles ordered or requested by acquisition method, number of issues received, number of claim alerts generated, number of binding alerts generated, number of outstanding claims, number of issues routed, number of current serial titles by acquisition method, and number of closed serial titles by acquisition method. Automatically-generated statistics obviously have several advantages over manually-recorded statistics, not least of which are their currency, accuracy, and the saving of staff time previously devoted to detailed recording of statistics. Various lists can be produced in an automated serials system: titles on order or requested, overdue orders, problem orders, subscriptions due for renewal, subscriptions costing more than X% of the original commitment amount, items at bindery, and missed issues. A commitment/expenditure report provides up-to-date information on the budget, amount

spent, amount committed, balance, percentage of budget spent, and percentage of the financial year elapsed.

Manual systems have provided acquisitions librarians with little opportunity to gain a clear picture of supplier performance. Automated serials systems, on the other hand, offer the facility to build up information on the performance of suppliers by reporting on a number of key indicators. Such supplier performance reports include details on the period covered, the number of orders with the supplier, amount committed with the supplier, amount spent, average price per order, number of issues not received, number of claims generated, and number of successful claims. Another form of performance report is the staff performance report which indicates the output of serials staff. From this report it is possible to determine average output and to monitor trends in productivity over a certain period.

COLLECTION DEVELOPMENT

While automated serials systems have become more commonplace in libraries and improvements have been rapid in crucial areas such as system design, storage, capacity and interconnection, libraries have frequently needed to stabilise or reduce the size of their serial collections in order to contain that portion of the book budget allocated to serials. Reduced or static funding for library collections and significant increases in the price of serials are well established trends. It is perhaps ironic that, at a time when technology allows improved control of serial acquisitions and processing, many libraries are struggling to maintain a serial collection relevant to their client groups. In some libraries, a new serial title can be acquired only after the cancellation of an existing title of similar price. It is likely that any rationalisation of a serial collection will result in some reduction in the quality of the collection but this reduction in quality must be minimised through intelligent collection development decisions. Management information available from automated serials systems is a valuable source of information for collection development purposes.

The methods employed to assess the value of serial titles in a collection vary from library to library. Frequently used evaluation criteria include level of internal use of the serial, indexing coverage of the serial in major indexing/abstracting services, demand for the serial through interlibrary loan, price of the serial, availability of the serial in other libraries and, of course, adherence to the selection guidelines laid down in the latest version of the library's collection development policy. The sophistication of the report generation facility in automated library systems will determine how much of this information can be generated automatically and presented in a form that allows comparative assessment of serial titles. For example, statistics on use of a serial title may be automatically produced in a system which records the number of searches on a particular title, the number of call slips generated in the OPAC for that title, and the number of interlibrary loan requests for it. It is possible also to produce a list of those serial titles which have increased in price by X% within a given period. Report generation of this kind is an area that will be further developed in the future as serials librarians require more and more information to assist in the evaluation of the serial collection.

CD-ROM

A recent development in the area of document delivery is the ADONIS Project. Although first mooted in the early 1980s, rapid technological developments in the areas of high capacity digital optical discs and laser printing promise to make viable the storage of large numbers of highly used biomedical journals on CD-ROM. A group of document delivery centres are, at present, participating in the ADONIS trial project based on 218 titles. Requested articles from these journals are printed on demand at an ADONIS workstation. Developments in the digital storage of data on optical disc have been significant in recent years and the potential of this technology is of considerable interest to serials librarians. Continuing improvements in this technology and the development of other high capacity storage mediums will, for instance, provide a more cost effective method of "publishing" the electronic journal or newspaper. Copyright and royalty considerations are likely to figure prominently in this area.

ACQUISITION OF MATERIALS IN NEW FORMATS

With the emergence of new technologies, the serials librarian is also confronted with the problems associated with the acquisition of materials in new formats. Microform provided the first challenge to the predominant print format for serial publications. It remains the case that most librarians and library users prefer the print format to microform but questions of cost, availability and storage have often determined the choice between print and microform. The availability of materials in new formats such as magnetic tape, diskette and CD-ROM is not a problem in terms of acquisition since manual or automated serial ordering systems can be adapted to acquire any item with a name, a price and a known supplier. There are, however, a number of new considerations introduced into the selection process. How is the existence of these materials known to the selection librarian? What criteria should be used to evaluate the worth of these materials in the collection? What equipment is required to access these materials?

CONCLUDING REMARKS

In all cases, the introduction of new technology has significant effects on staffing, procedures, workflows, and the knowledge and skills required by the staff. The adoption of new technologies will often provide an opportunity, if not the necessity, to reassess staff structures and organisational practices. Appropriate staff consultation, training and documentation will encourage the involvement of staff and ease the transition to changed procedures and workflows. The adoption of new technologies will also increase the range of skills available to staff. Automation of acquisitions and serials is frequently closely associated with automation of other library functions such as cataloguing, circulation and OPAC, and staff benefit from an improved knowledge of the range of library functions.

While ongoing development and improvement of automated serials systems and other new technologies relevant to the selection and acquisition of serials seem assured, the related issues of cost, systems interconnection and system performance will be increasingly important. The question as to the relative merits of manual and automated systems has been replaced with the question as to the relative merits of various automated system options. In addition to improving the efficiency of serial selection and acquisition procedures, libraries are increasingly seeking to derive crucial management information from automated systems. Sophisticated and comprehensive report generation facilities in automated serial systems are becoming more important as financial pressures necessitate ongoing evaluation and justification of the serial collection. Developments in optical disc technology and electronic publishing are perhaps the areas to watch in the near future. At the same time, I feel confident in saying that the printed serial, whether acquired by manual or automated means, will retain its predominant position in serial collections for many years yet.

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"WHAT IS THAT HYPHEN DOING ANYWAY?" CATALOGUING AND CLASSIFICATION OF SERIALS AND THE NEW TECHNOLOGIES

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ABSTRACT

The 'Bibliographic access to serials' study for the British Library described by the author at IFLA87 revealed users poor understanding of the serials catalogue entries provided in the Main Reading Room of the British Library Humanities and Social Sciences. Osborn in his 1941 article 'Crisis in cataloging' favours the 'pragmatic' theory of cataloguing. Over complexity of, and lack of clarity in, data imposes burdens on both the librarian and the user. New technology of itself will not solve the problem — it can make life more complicated. There should be a more integrated approach to processing the various categories of material received by libraries. Too great an emphasis is placed on the difference between 'serials' and 'books', although the 'dynamic' nature of the former causes problems. There could be greater liaison with publishers to help resolve some of the difficulties caused by too many changes of title

and numbering systems. Scientific journal publishing appears likely to genuinely break the constraint of the hardcopy format within the next decade. Whatever the technology used, the data handled will still have to be made easily comprehensible to the user.

Introduction

I remember the English novelist and playwright, J.B. Priestley, being asked the secret of successful writing. "Isn't it a matter of inspiration?" "Successful writing" replied Priestley "is 10% inspiration and 90% perspiration"! That is exactly how I felt when I settled down to prepare this talk! Very occasionally I find that a blank sheet of paper looks inviting — even exciting — but more often than not I look at it with an increasing sense of despair. I did so on this occasion! Then, a day or two after I had made a number of abortive starts, I heard a well-known British politician describe how he approached his speech writing. "I break all the rules" he said "I just sit down with a sheet of blank paper, pick up my pen and begin writing and what I want to say takes shape as I write." Having heard this I was encouraged and I decided I would try the same method myself and this is the result!

The first thing I did was to decide on my title. I quite often do this, even though that also probably breaks all the accepted rules! I was especially aware of the fact that I had been invited back to address you again this year because of your kind appreciation of my presentation to you at Brighton last year. I was greatly honoured by this second invitation, but also thought you possibly a little unwise, because I am sure that, if I was a novelist, I would definitely be a 'one book' man. It is always incredibly difficult to live up to the expectations raised by an initial success. The laughter that could be heard last year disturbing the calm of the Metropole Hotel in Brighton was in fact not due in any way to my inherent wit or comic talents — if they exist — but to the objective description of users' reactions to, and interpretations of, data in catalogue entries for serials in one of the world's greatest research libraries! These interpretations and reactions, although amusing, really were a cause for serious concern and I wanted this year's paper to have its roots in what I was describing to you last year. Therefore, to find a title, I decided that I would look back through the many hundreds of users' comments we had recorded during the British Library Serials Study to see if any might yield me a little inspiration! These are just a few of those I considered:

"I find things in spite of, not because of, library cataloguing"

"This entry is terrible!"

"Why do I need to know this?"

"Not very helpful!"

"This entry is rubbish . . . designed to confuse!"

"Would try to ignore this"

"O God that's complicated isn't it!" (A UK user with 19 years experience of the Library)

I especially enjoyed one user's understanding of the letters OPL as meaning the "Old People's Library". Admittedly it was a first-time user who perhaps could be excused for not having heard of the Official Publications Library! Eventually I selected the comment: "What is that hyphen doing anyway?" because it brings us back to a major example of one of the most significant results of the impact of computing on international cataloguing — the ISBD.

There were two reasons initially why I felt apprehensive about accepting the invitation to speak to this Section a second time. The first reason was that I felt somewhat of a fraud in presuming to address serials experts on the theme presented to me when possessing so little experience of serials handling myself. The second reason was that I am not an expert in matters technical and there is no way in which I could hope to expand your horizons with superior knowledge about the way the new technologies are likely to shape the future for serials cataloguers and librarians. Nevertheless, counterbalancing my apprehension, I felt that my forty years in librarianship, many of them as a cataloguer and the last eleven directing the work of a Centre concerned with the bibliographic data which the technology handles, might result in at least one or two of my views being considered relevant.

Cataloguing

As this session of the Sydney Conference was to have as its basis Andrew Osborn's Serial Publications, I felt that it would be appropriate to mention his well-known Library Quarterly article of October 1941 "The Crisis in Cataloging"[1] — an article which is one of very few pieces of professional writing to which I return from time to time for stimulation. In that article Osborn referred to Rudolf Kaiser's criterion of cataloguing which reads: the minimum of [illegible] and effort in conformity with the best use of the library.[2] It is from the practical point of view that the problem of bibliographic catalo[illegible]ing must be approached. The card catalogue is at best a bar[illegible] between the reader and the book. Well the card catalogue was a 'new technology' compared to the guardbook catalogue — the COM catalogue was a 'new technology' compared to the card catalogue and the comments I read to you earlier related to entries prepared for a COM fiche catalogue. How very relevant to Kaiser's and Osborn's views was that quote: "I find things in spite of, not because of, the library catalogue"! So how different are things, or will things be, with the online public access catalogue, or, as I now prefer to call it, the 'interactive catalogue'? Unless we provide our data with sufficient simplicity and clarity not a great deal better I fear. Jargon is jargon whether provided on page, COM frame, or VDU screen! The trouble with the VDU screen is that we can really foul things up! We not only have the jargon about the data (e.g. uniform title, corporate author), of the data (e.g. v. illus. 35 cm, punctuation, etc.), but also of the system itself ("CONTROL-Z returns you to the previous menu" or "TYPE PS and RETURN, etc.)

Osborn in his article said that cataloguing was an art, and as an art it was technical. Its basic rules were actually rather few and simple, and, in so far as the rules were kept few and simple, it was a delightful art to practise. He admitted that this was a romanticist viewpoint and that a period of romanticism tends to be followed by a period of classicism with subservience to rules, and this was what had been happening to cataloguing . . . The result was that "cataloguing has become elaborate, highly technical, a skill too often existing in and for itself". He identified four theories of cataloguing — the 'legalistic' (i.e. rules and definitions to govern every point that arises); the 'perfectionist' (i.e. the compelling desire to catalogue a book in all respects so well that the job will be done once and for all); the 'bibliographic' (i.e. attempts to make cataloguing into a branch of descriptive bibliography); the 'pragmatic' (i.e. rules hold and decisions are made only to the extent that seems desirable from a practical point of view). As one would anticipate, Osborn was an exponent of the last theory! One cannot help thinking of the 'backlog' problems faced by the British Library Bibliographic Services of recent years when one reads his comments regarding the Library of Congress's cataloguing system at the time:

> "Rules specially worked out for large scholarly libraries did not result in plain sailing for those libraries. The biggest of them — the Library of Congress — steadily lost ground, acquiring annually some thirty thousand more books than could be catalogued on this basis. When the cumulative effect began to be felt the Library of Congress had amassed several million uncatalogued books. The cataloguing system had plainly broken down."

Well, the British Library had access to much of the paraphernalia of the new technology and yet they still had their problems and they are certainly not atypical in this respect! Some unkind people would say that such problems are management problems. I do not agree. Of course management is nearly always capable of improvement, but the problems can far more easily be attributed to the demands of meeting detailed standards; providing a level of fullness of bibliographic description not required by the majority of users; the nature of the subject processing methods, etc., all of which have either been defined, or further developed, within the computing environment. Ironically, it is new technology which is also largely responsible for the ever increasing number of titles which have to be handled.

It is axiomatic that a 'new technology' of itself does not necessarily solve problems — it often only compounds them! Many would argue that, in the world of library cataloguing, insufficient attention was paid originally to identifying the most effective ways of exploiting the benefits of computing and the other new technologies. Too much perhaps was paid to over-detailed analysis of the existing state of affairs, the main result being the over complex replication of features of existing manual systems rather than the devising of totally new methods of serving our users — either directly through the tools we offer, or indirectly, through the more effective administration of our library systems.

Serials

And so to 'serials'! One of the significant characteristics of the era of computerized cataloguing has been the immense effort put into the defining of different treatments for different categories of material. Some of these would appear to be important, but just how basic are the differences between the cataloguing of the various categories of material received in our libraries and especially between the cataloguing of 'serials' and 'books' (I am a little unhappy about using the word 'monographs'). Michael Gorman wrote in 1983:

> "Such artificial distinction as 'book' and 'non-book' can be shown to have little or no relevance when contrasted with the

immense difference in handling and use as between complete and to-be-completed publications . . . If, as is common in many libraries, you have a continuations file with records that are different to those in other files . . . it is clearly important for this class which is receiving special treatment to be defined rigorously. In looking at this class from the other end of the process — from the viewpoint of the library user — this carefully created and maintained distinction seems to vanish. A typical 'continuation' is an annual reference book which will sit on the shelf next to other reference books which are not continuations, and which will be used in the same way as the other books. From the reader-oriented angle, therefore, some fundamental ideas about serials would seem to need reassessment. Specifically, I would suggest that, instead of starting with the idea that serials are intrinsically different, and that sub-classes of serials need separate treatment, we should start with the assumption that all kinds of library materials have more in common than they have differences"[3]

How much I agree with Gorman! 'Serials' have titles, places of publication, corporate authorship, editors, publishers, etc. just the same as 'books' do, and many 'book' cataloguing problems are very very similar to those of 'serials' — works which appear in many editions and change their titles over time; works which appear in several editions all at the same time; individual titles in a series which are themselves in more than one volume; and so on. Nevertheless, although I am sure that it is possible to overemphasize the difference between the treatment of 'books' and 'serials', the one major distinction which unarguably exists is the far greater dynamism of 'serials' cataloguing. Sometimes cataloguers cope with this dynamism; all too often they run to stand still; and sometimes they fall far behind and our users are the sufferers. Osborn in his Serial Publications says that he especially likes Bella Shachtman's definition of a 'serial':

"Any title issued in parts, which is incomplete in a library collection"[4]

I like it too! As a light-hearted definition that is, but not for the very serious point it makes about user frustration. Over the past few years I have referred on a number of occasions to Marjorie Murfin's article "The Myth of accessibility" which appeared in the March 1980 issue of Journal of Academic Librarianship. In this article she discussed a number of 'failure' surveys and described an experimental study she carried out at Ohio State University in 1972. Despite the fact that one might question some aspects of the methodology used, Murfin certainly identified user problems in retrieving serials and the results were of considerable interest. Only 55% of the citations which were actually in the library's stock were retrieved by the sample population studied. The failures were due to a number of reasons, including user error and normal administrative reasons such as 'at binding', etc., and not just to failure at the catalogue. Nevertheless, Marjorie Murfin certainly had a point when she wrote:

"If only 55 percent of desired periodical literature, already owned and paid for, is actually accessible to an unaided user in spite of all our efforts, then we must question whether something is not seriously wrong."[5]

It is a minority of users who require a journal as a physical or bibliographic entity in itself. The majority — 70% to 80% — want a specific article or articles as speedily as possible. So what do our users mainly ask of our serial systems? Just three things I suggest: knowledge of the following:

(i) Does the library possess the exact volume or part of each serial required?
(ii) Is that exact volume or part available now, as as nearly 'now' as possible?
(iii) If not, can the article, correspondence, or other item required be delivered from another source without delay, and preferably in a form the requester can keep?

These are the questions which we and our users are looking to new technology to answer.

Technology

With the exception of current problems there are just two others to be addressed by the application of new technology — coping with the past and dealing with the future! In many ways dealing with the future is probably the less daunting of the two.

Probably the major cataloguing problems currently under discussion, especially in Europe, are 'retrospective conversion' and 'retrospective cataloguing'. Within this discussion the 'serial' appears to be something of a Cinderella. Librarians will happily contemplate investing a great deal of money and effort into dealing with the "cultural heritage" of incunabula, rare books and special collections, and yet not be too concerned about the completeness and accuracy of the 'holdings' statements in their serials catalogue entries. Whatever direction the evolution of the 'serial' takes in the next few years the back-runs will still be with us in their traditional form. In attempting to deal with these adequately, it is clear that our public is often ill-served by our current serials cataloguing procedures. The files available for consultation may, as in the case of the British Library, be in two or more sequences and two or more physical forms, and the 'holdings' statements be incomplete, or inaccurate, or both! Our users want one source of information that tells them whether their library takes, or has taken, the periodical title, and the necessary details to tell them which parts and volumes it stocks, and whether the volume they want is available, missing, mutilated, at binding, etc. The online public access catalogue integrated with the automated serials control system will satisfy this need more than adequately, provided of course that the necessary investment is made in recording the details required. It means the expenditure of considerable effort, but it will more than reap adequate rewards in terms of user satisfaction. As far as integration with the serials control system is concerned one of my distinguished librarian friends believes that, with the new technology, the 'open' entry should be a thing of the past. In its place there should be "a closed entry updated every time a new issue comes in." This could also result in a greater ability of circulation control systems to handle the loan of 'serials' volumes.

Of course a lot of serials processing problems derive from the attitudes of their publishers. To quote Gorman again (I make little apology for doing this as I consider him the most fluent writer and one of the most perceptive thinkers in our professional literature):

"I strongly believe that the many inconsistencies of modern serial publications need not be accepted in a passive way by librarians and libraries. Why should we accept the constant and irrational changes of title, format, subject, etc. to which the serial is heir . . . I believe that librarians should use their accumulated experience with serial publications to propose and carry out, as equal partners with the publishing and serials distribution trades, a radical revision of the way in which "microthought" (short and specific assemblage of knowledge and information) is disseminated and preserved".[6]

It is perhaps worth noting that in the UK there is currently more attempt being made by the library community and the book trade to jointly address common problems than I can remember. Why not in the world of serials?

A catalogue record fulfils two functions:

(i) it describes a physical item,
(ii) it exposes its content.

The latter function is largely concerned, though obviously not exclusively, with subject access. I was asked to speak about the cataloguing and classification of 'serials'. As far as the 'past' is concerned I can see little reason to expend too much energy on discussing the classification of the 'serial' in its traditional form. Many librarians say 'why classify serials at all?! At the University of Bath serials for years have been classified very broadly by just the first two digits of the UDC numbers. The titles are then arranged alphabetically within these broad classes, the bound volumes being shelved in close proximity to the monographic stock relating to those classes. It appears to me to have been a successful system even though a very simple one. I see no reason for anything more complex. Access to the individual articles and their subject content is of course another matter, but I cannot envisage great progress being made retrospectively in this area for many years. It will remain a case of consulting the external IR databases available and then checking the local OPAC, networked catalogues, or cooperative databases.

The accelerating development of networking coupled with facsimile transmission methods are beginning to answer, at a cost, some of the problems of document delivery. Certainly networking is the second major area of current interest in Europe — especially with the coming implementation of OSI and its implications for retroconversion.

And so to the future! If users mainly want specific articles and papers, why are so many journals still produced? This problem has been discussed for years. What 'law' has been more quoted than Bradford's Law? We know that journals are full of articles very very few of which, however painstakingly prepared, are really significant. We have talked endlessly about the 'information explosion' when we might also speak of a 'hot air explosion'. How little new knowledge, synthesis of existing knowledge, or originality of thought is born as a result of the existence of the serial? Very little. (Especially is this so in the world of library journals, and I fear that I am not helping matters with this paper!) So why is there encouragement for the production of these costly publications, with articles which take weeks to write, referee and publish and that are

90 percent ignored? I do believe, despite my innate scepticism regarding librarians' enthusiasm for the latest 'toys', that there really are signs that there will be significant changes in relation to serials within the next few years. Much 'new technology' that until recently has existed in disparate forms is coming together in ways which already significantly enhance its utility. Certainly scientific journal publishing appears likely to genuinely break the constraint of the hardcopy format within the next decade. Electronic journals stored in central databases and accessed from local micros, with options to print, or to download in machine-readable form, will I am sure be with us in a major way at last. Optical disc systems will also proliferate. Within this new context the determining of the nature of the subject access to be provided will be far more of a challenge. The satisfactory indexing and abstracting of electronically held articles is certainly going to exercise the producer's and the librarian's thinking! Here classification may well have a role to play, for example in 'relevance' feedback systems. One would also hope that once the electronic journal becomes firmly established it will prove possible to have 'clearing houses' where needless overlap of content between papers can be signalled to authors and significantly reduced.

Whatever the technological wonders which await us, for example in the form of advanced hypertext and hypermedia systems, the data handled by these systems will still have to be read by the eye or listened to by the ear — and make sense!

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THE FUTURE FOR RARE BOOKS COLLECTIONS IN AUSTRALIA

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When I told my son, who is at that stage of adolescence when offspring are thoroughly cynical about the ways in which their parents earn their livings, that I was giving a paper on 'The future for rare books collections in Australia', his response was 'Is there one?' Well, I have a vested interest in saying that there is, so long as we as rare books librarians are prepared to work hard at it, and to think hard about what we are doing; what our client groups are doing; and the ways in which these may change in the future. I start from the premise that there are four prerequisites for the operations of a rare books library: books; readers; staff; and accommodation. One might add, of course, money, which is essential for three of those four things. Only the readers are free.

Before I go on to suggest some thoughts about the future, I should - particularly for the benefit of our overseas visitors - say something about the present situation, the lie of the land. As in most aspects of Australian culture, many circumstances affecting rare book collections here can be related to demography. I think there are some people here from Canada, including our next speaker. It has always seemed to me that Australia is rather like Canada turned inside out, in that most of the centres of population - or if you like (with no offence to our country cousins) of culture, of civilisation - are situated around the edges of the country instead of, as in Canada, clustered towards the centre. Certainly this applies to most of the centres of scholarly activity. What's more, they are separated by much greater distances than they are in most countries, even countries the size of Australia. This of course affects the operational modes of both individuals and institutions.

For individuals who are practitioners in a small specialised field such as rare books librarianship, it means that it is very difficult to maintain regular professional contact with colleagues. That in turn has meant there is a disincentive to create a formal structure for such contact. This situation has started to change in recent years. Landmarks in this process of change have included the foundation in 1969 of the Bibliographical Society of Australia and New Zealand, which holds annual conferences - not only attended by librarians, of course, but which do bring people together so that they can talk about matters of common concern; and the establishment in 1984 of the Library Association of Australia Special Interest Group on Rare Books and Special Collections. So rare books librarians in this country are starting to feel less isolated than they used to, less as though they are each working in a vacuum, but there is still a long way to go. One practical obstacle to conference-based interaction reflects again on the demographic nature of Australia: the very high costs of travel around the country. Clearly an institutional library has to be, in the light of this, very selective about whom it sends to conferences. But

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rare books librarians, as middle- or even lower-ranking staff, need (it seems to me) to make particular efforts to persuade the institutions which they serve, by demonstrating that they are not dilettantes working in garrets for an obsolescent clientele (if for any clientele at all), but professionals with scholarly expertise, and diverse concerns and skills, who have as much need as anyone else to know what their colleagues in other places are thinking and doing. How this message is best got across I'm not sure. Sometimes we get so entrapped in day-to-day work, which few - perhaps not even our readers, who often know more about what we are doing than our employers do - share with us, that there is little time or energy for stressing the point in specific terms.

To digress slightly for a moment: I was recently at a management planning seminar for senior library staff, during which a recurrent theme was the need to 'sell' one's services, in order to maintain financial viability. I raised a mild objection to this, which didn't go down too well. I was asked what I meant - and I wasn't at the time quite sure what I meant. Thinking about it afterwards, I realised that I wasn't objecting to the concept, but to the word. Rare books departments (and we're not alone in this) have traditionally had lowish priority when it comes to library funds (this applies in many other fields than just travel expenses of course, and I'll touch on some of those other fields later); but if we're reduced to just arguing our relevance we are, it seems to me, sunk -: we have to demonstrate our relevance. I shall be grateful for your comments on this later. My own feeling is that if I am irrelevant I'm capable of facing the fact for myself, and finding something else to do. But I don't believe I am! And I'm glad to say that many of the scholars who use our library's rare books department appear to agree.

As I said just now, I think a major incentive for more discussion and concerted action on the part of rare books librarians around Australia would be the existence of an active, formally-based structure. Here I might say a word about the LAA Special Interest Group on Rare Books and Special Collections, to which I referred. This group had its origins in a fairly informal meeting held in Melbourne in 1983, attended by some fifteen people - in other words, just about all the full-time rare books librarians in the country, plus a few other interested librarians. We talked about things like collection-building, conservation, security, our own definitions of a rare book, cataloguing standards, and so on. It was very fruitful, simply as a discussion. It was the first time we had met as a group. The S.I.G. was formally constituted at a much larger forum in Brisbane in 1984, under the umbrella of the LAA conference, and met again in 1985 (a meeting which I was unable to go to myself), but since then it has been relatively inactive. This is a great pity, I think. My experience is that it takes a long while for a new body to become not just a discussion group but also an effective lobby group on matters of common concern (my involvement with the LAA Special Interest Group on the Conservation of Library Materials testifies to this). It requires sustained work, and a lot of thought about common objectives. I hope that new impetus can be achieved on this

particular front. There may be people here who will have comments to make about how this can be done. I'd be especially grateful to have comments from anyone who has been through a similar exercise in other parts of the world.

The demographic nature of Australia has also had its effects on the ways in which institutions, as opposed to individuals, have gone about their business. We're looking back somewhat further in time now, to the third quarter of the nineteenth century, when the nuclei of most of the present large rare books collections in Australia were formed: in the State Libraries of New South Wales and Victoria, and the libraries of the University of Sydney and of the University of Melbourne. I don't want to get pedantic, particularly because I'm supposed to be talking about the future rather than the past, but I might mention that the State Library of New South Wales is a special case, since it is the result of a series of transformations of considerably earlier institutions. You might, though, like to know that the foundation stones of the State Library of Victoria, or the Melbourne Public Library as it then was, and of the University of Melbourne were laid on the same day by the same man, Sir Redmond Barry, who on that occasion ventured the prediction that the Public Library would in time prove to be a greater cultural asset than the university. (Since I worked at the State Library of Victoria for ten years and was married to a lecturer at the University of Melbourne, I'll keep my own opinions on that to myself.)

These institutional libraries inevitably went their separate ways in terms of what they acquired. The amount of overlap between what the major libraries were buying was absurd by our standards: a phenomenon not uncommon, I think, amongst libraries in other countries in the English-speaking world and indeed elsewhere until relatively recently. I shall come to this point again later, but at the moment I would simply wish to suggest that this fact about the past - which comes down, as I understand it, to limited cultural contacts amongst the Australian capital cities, ('centres of civilisation') - has something to say to us about our present and future attitudes. We have infinitely better opportunities for communication than earlier generations of librarians around this and other countries had, but do we always make adequate use of them? What is the proper use, in this context? In particular it relates, I think, to the fact that in a country with major libraries so widely scattered as they are in Australia - and compared with North American and some European countries, relatively weak in holdings - each collection must be viewed as part of a national collection, a national resource; and that if we get that idea firmly implanted in our heads we'll be on the way to solving the problem of how best to use what are, at times, thinly spread financial resources.

I'll get back to that point in a moment, but before I do I'd like, while we're talking about the past, to point out that none of the major research libraries in this country originally set out to collect rare books as such - or 'rare' books as we interpret the term. To put it more precisely, they did not collect books for the sake of their rarity

or antiquity, though they rapidly started to acquire rarities through the medium of donations and benefactions. From the beginnings, they concentrated on building working collections, intended for scholarly use - and I stress the word use; and not just 'academic' use, because in the days of the gentleman (or even the lady) scholar it is a futile exercise to try to work out who bought what for whom to read and why. Libraries bought books, I believe, in order that they be read, not admired on aesthetic/antiquarian grounds. As two examples: the first book acquired by the University of Sydney for its library, in 1851 before there was effectively a library, was a dictionary - Scapula's Lexicon Graeco-Latinum of 1563 (an odd choice, I agree - if it was a choice); and Sir Redmond Barry, whom I mentioned earlier and who can be regarded as the founder of the Melbourne Public Library, used as part of his acquisitions programme a policy of acquiring a copy of every book referred to in the footnotes of Gibbon's Decline and fall of the Roman Empire - and very nearly succeeded.

The notion of a rare books collection as a 'working collection' has at times been lost sight of in this country, but we are coming back to it very seriously and I believe it's vital that we should carry this further. Rare books rooms in the major Australian libraries are opening their doors wider; making their holdings more freely accessible to wider client groups, so far of course as is compatible with factors such as security and conservation. This is good. There are still vestiges (or perhaps more than that) of the 'museum' attitude towards old books and special collections; the rare books librarian at one of the State Libraries is officially designated 'Fine Books Librarian', a title which I think is telling (though of course no reflection on the occupant). There is in Australia currently no 'Museum of the Book' as such (and I'm certainly not saying that there isn't a place for one), but until we can, as I said earlier, not only argue but demonstrate that our books are there to be read, as they were when our libraries were founded, many of us are in danger of being sent back to our exhibition cases and spending our time prettifying the foyer. (Not that I have any objection to exhibition cases!)

Just a word about exhibitions. I think they're important (I also enjoy mounting them, and I like it when people enjoy looking at them), but not as an end in themselves - rather, as a way of illustrating our collections' potential usefulness to an unaware or semi-aware clientele. My own experience is that this is often best done by picking on an unlikely theme and hacking it to death. (I might put in a plug here for the current display on 'Fleas and their Illustrators' in Fisher Library at the University of Sydney.) Obviously this kind of activity is a valuable way of promoting collections - exhibitions tend to attract publicity like no other library activity does - and to this end it would be highly desirable to be able to employ full-time exhibitions staff, something which to my knowledge only two Australian libraries currently have. But I would add a proviso: that a concentration on exhibitions, if not carefully thought out, has the potential to perpetuate, to some extent, the 'museum' attitude to rare books collections, and lessen the emphasis on

that fact that our resources are for use. In my own rare books department we have a set of cards which read 'This exhibit has been temporarily removed for use by a reader', and I often remove a book at random and substitute one of these cards; which has been known to evoke the desired response 'Does that mean that these books can actually be read?' I might also make the observation that exhibitions, as well as providing a service to our readers in drawing to their attention material which it may not have occurred to them that we had, can also attract the kind of publicity which may result in additional financial resources - from both official and unofficial sources - for further collection-building. Proud as we may be of our collections, they are not static entities and we should be wary of any underlying assumption that we necessarily have the collections which our readers want.

This brings us to the subject of rare books collection-building in Australia - a subject to which a lot of thought has been given in recent years, both by individual rare books librarians (who are often working in the kind of 'vacuum' I have talked about) and, somewhat more helpfully, by groups such as the Library Association of Australia Special Interest Group on Rare Books and Special Collections. At the 1984 meeting of that group, in Brisbane, (which was actually before the group was formally constituted), there was discussion of the concept of 'collusive acquisitions' (sounds a bit sinister, doesn't it?). Not 'collaborative' acquisitions, which of course will always be of value in the case of major purchases such as divisible microfilm projects, but a consultative process - on a more systematic process than presently exists - based on the knowledge on the part of each and all of what is being collected by which library. I strongly believe that this is a very valuable concept.

Four of the five biggest rare books collections in this country are within a mile or two (two or three kilometres) of one of the others - the Baillieu Library, at Melbourne University, from the State Library of Victoria, and the State Library of New South Wales, with its glorious Mitchell Library Collections, from Fisher Library at the University of Sydney. Should the State Library of Victoria try to rival the Baillieu's splendid collection of early children's books? I think not. Should Fisher Library try to rival Mitchell's unrivalled collections of early Australian and Pacific voyages and travels? I'm sure the answer is no. In that sense the status quo amongst library specialisations ought to be let lie. And I'm not, of course, talking just of duplication of individual rare items but of wider fields for collecting activity.

This may seem self-evident and it has indeed been agreed on, implicitly and explicitly, by rare books librarians around Australia. But I would like to argue another point which I don't think is incompatible with what I've just said.

The rare books collections I have mentioned are medium-sized by English, European or North American standards. Inevitably they have tended in the past to concentrate, when contemplating acquisitions, on subject areas in which they already hold considerable strengths within their own walls. But I am coming to think that

there is a danger in what rare books and special collections librarians call 'building on strength'. It's potentially, what we call in Australia (and perhaps elsewhere) a cop-out and often is used as an excuse for not launching out into new areas of collection-building. How many times has a rare books librarian - one who is answerable in financial terms to her or his chief librarian - been asked 'Do we collect in that field?' My point is that, so long as we are aware of the kinds of fields in which other institutions are collecting (and we should never regard them as 'rival' institutions), we shouldn't allow ourselves to get locked into patterns of collection-building which we've inherited. This resolution is, of course, more easily proposed than put into practice. Unless we find ourselves on the receiving end of generous bequests with no strings attached, or of offers of gifts of formed collections, we are unlikely to be in a position to launch out into new directions on a big scale: some Australian libraries - The Baillieu Library at Melbourne University, the National Library, and Fisher Library at the University of Sydney - have been in this lucky position in recent years, but more usually it's a matter of small inspirations (if that's the word!) - individual acquisitions on the part of individual librarians - which could form the nucleus of new subject collections. (Though of course there's no reason why they have to.)

I mentioned just now, in the context of overlap among neighbouring libraries, the question of regionally-based rare books collecting. I would suggest that this is an area where a particular danger exists of our all trying to get in on the same act, with the result that thinly-spread resources are wasted on duplication - at the expense of the development of a truly national collection with the broadest possible scope. We as librarians need to anticipate demands which are not yet evident; and we should be helping to create those demands, by what we collect - not in order to justify our own continued existence, but as our own contribution to scholarship. There are many fields where little scholarly work is currently being done in Australia, largely because the rare books resources across the country in those fields are weak. I think early Americana is one of the most obvious examples. My own library, for instance, 'does not' - and I put those words in quotation marks - collect early Americana. And the reason? Because we don't have much. Most major Australian libraries have in recent years gone through the exercise of drawing up a formal collection policy for rare books and, so far as I am aware, in every case this has been based on the notion of 'building on strength', which is generally the same as what the person responsible for acquiring rare books (whether or not that's the same person who draws up the policy) has been in the habit of buying. There's nothing wrong, of course, with building on strength, and certainly our areas of strength must not be allowed to become static, but for the sake of scholarship in this country I am sure we should be building on weaknesses too. From this point of view a written collection is, I would suggest, potentially a dangerous thing. I'd be glad to hear your comments on this.

I want to say a little bit about human resources - or, as they're sometimes called,

'people': readers and staff. The readers are our lifeblood, our raison d'etre, but who are they? They come in all shapes and sizes, and they vary from one library to another, but because of the very scattered nature, geographically speaking, of Australia's rare books collections they tend to move around a fair bit. Apart from the National Library in Canberra, the major rare books collections are almost equally divided between the State Libraries and the university libraries. I've been on the staff of one State library and one university library. If I can generalise from the former experience, I think the State libraries have gone in for a great deal of navel contemplation in recent years in defining their roles, including defining their client groups - which may not be a terribly fruitful exercise since these libraries are literally open to anyone who chooses to walk in off the street. And the client groups are likely to change if the libraries, in the long term, choose to change direction, whether in the nature of their collection-building or the nature of their information services. Partly they serve, in practice, as a back-up to the university libraries' collections, and partly they are there to provide for the needs of the amateur scholar - and amateur scholarship has a long and honourable tradition in Australia which could not have thrived without the resources of the rare books collections in the State libraries. But the diversity of the client groups makes collection-building for those institutions something of a nightmare, and inevitably one tends to fall back into the trap of only 'building on strength'. As for the university libraries: they too are, to greater or lesser degrees, open to everybody, but clearly first priority has to be given to present and anticipated needs of our university communities. I have been surprised, in the time that I've been working in a university rare books library, at the extent to which postgraduate students outnumber the academic staff amongst our readers. Cynically, I'm tempted to think that the teaching staff often deliberately prefer not to know about the resources we have here, because if it were widely known how much of their research they could do locally they would find it more difficult to justify their overseas study leave. We've tried to involve them in rare books selection, by a process of individual invitation and by displaying antiquarian booksellers' catalogues in our rare books reading-room underneath an inviting notice, with some success - but even this has proved difficult. If my own experience is anything to go by, we need to work much harder at involving university teaching staff in our collection-building activities. They're all too willing to request multiple copies of undergraduate text-books - and vital though those are, they tend to stretch that part of a university library's budget to its limits - but they often neglect the opportunities to build up the research potential of our rare books and special collections. If we can succeed in changing this, in involving the teaching staff more directly in our activities, rare books departments will, I think, be in a much better position to argue their cases for funding (funding for purchases, staff, conservation, equipment and so on) within a university hierarchy.

What of the other people: the staff? Who is going to implement the ideas which we, or anyone else, may come up with for the future development of our rare

books collections? What sort of people will they be? Briefly, there are two aspects to these questions: education and experience, and although the two have an essential interlock (which we might address as 'training') it has to be said that in the present Australian situation they are somewhat out of kilter. On the education front, things have improved greatly in recent years, particularly since the establishment in 1975 of the Graduate School of Librarianship at Monash University and more recently the Centre for Bibliographical and Textual Studies there, where historical and analytical bibliography are taught at Masters level; and there is an increasing number of talented and highly qualified young people emerging keen to work in rare books and special collections. But there are very few openings at a junior level, since few of the rare books rooms in our libraries have a staff of more than one, and so these people generally have to settle for working in some other branch of librarianship, and are unable to gain appropriate practical experience for more senior positions in the rare books field. In many cases this is a frustrating loss, since it seems to me that the most effective staff are generally those who wish from the beginning, rather than - as so often - drift, or are moved, sideways into the field later. (That's not wholly true, but as a generalisation I think it will stand.)

Expertise and money are the two things we need more of: money if our national collections and our establishments are to expand. Compared to North America there is little tradition in Australia of fund-raising from the private sector, but undoubtedly we are going to have to try to move in that direction; and there is almost no tradition of raising money from alumni. Until we get organised on those fronts we must continue to lobby the institutions in which we find ourselves placed, and to keep a high profile. Money is desperately needed for conservation, a subject I haven't touched on; awareness of the problems has been raised in recent years and much progress has been made, especially in the State libraries. (Our conservation needs are possibly greater than those of most countries, since the Australian climate - or climates - can be very harsh and destructive.) We must keep up the pressure on as many fronts as possible.

These are the somewhat random observations of a practitioner working with a wide range of issues and problems, but sometimes it is useful to put one's thoughts in even random order, and for that reason I am grateful for the invitation to come and talk to you this afternoon. I might conclude by saying that the only certainty about the future is that the demands on our materials and our expertise will increase, not grow less. Be prepared.

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Division: Collections and Services
Section/RT: Serial Publications

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REFERENCE AND PUBLIC SERVICE ACTIVITIES FOR SERIAL PUBLICATIONS AT THE NATIONAL LIBRARY OF NEW ZEALAND

by

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REFERENCE AND PUBLIC SERVICE ACTIVITIES FOR SERIAL PUBLICATIONS AT THE NATIONAL LIBRARY OF NEW ZEALAND

ABSTRACT

The application of new technologies to reference services offered by the National Library of New Zealand has resulted in improved access for the public to National Library collections. The new technologies used are: INNZ, NEWZINDEX and FIND databases on Kiwinet, the National Library's database hosting service; an in-house electronic message-switching system; and an automatic conveyor system, the telelift, for delivery of requested items to reading rooms. These technologies have had considerable impact on traditional serial operations.

The National Library of New Zealand includes two major collections of serials, the Alexander Turnbull Library's Serials Collection and the National Serials Collection. These two collections differ in their purpose, function, access points and availability, but they complement each other and, together, provide New Zealanders with collections for present and future use.

The Alexander Turnbull Library is a specialist research library within the National Library with its own collections and its own systems. The Turnbull Serials Collection is a comprehensive archive of the New Zealand imprint gathered under the compulsory deposit provisions of the Copyright Act and is intended for long

term preservation in its present condition. It is not intended primarily for current use, and would-be users are generally directed elsewhere so as to prevent damage to the archival "copies of the last resort." When items are not available elsewhere, the Turnbull copies are made available to users. The collection contains approximately 16,000 titles and 1.6 million items. About 5,200 titles are being currently received on legal deposit and there are subscriptions to 620 overseas titles. The retrospective collection of New Zealand Newspapers is part of the Turnbull Serials Collection.

In addition to the New Zealand Collection the Turnbull has particular strengths in Pacific Islands materials, especially those from Polynesia and has important collections of serials printed in Niueian, Samoan, Tokelauan, Tongan and Cook Islands Maori. Frequently these publications no longer exist in the countries of origin.

The National Serials Collection is a non-lending collection which has a dual role. Historically it has been New Zealand's central back-up collection for interlibrary loan, used to provide a prompt photocopy service of specifically requested articles. Since the opening of the new building it has become a reference collection to satisfy current public demand for information. The collection, estimated at 4.2 million items, consists of approximately 36,000 titles. At present we subscribe to about 6,000 serials, and receive 2,500 on legal deposit. The emphasis

of the National Serials Collection has always been on non-New Zealand serials. The collection covers a wide range of subjects but has particular strengths in agriculture, economics, history, library science, literature, the sciences and social sciences. There is a growing collection of Australasian and South Pacific titles, and we are building up the collection in the high-demand areas of management and the medical sciences. The collection also includes nearly two million ERIC and NTIS fiche plus other serials on microfilm and microfiche.

A longstanding policy of the National Library has been to acquire "last copies" of serial titles that are unique in the country which individual institutions cannot afford or no longer wish to keep by taking over the current subscription and having the backrun transferred. Incomplete sets of periodicals continue to be filled in by donations from other libraries.

In terms of New Zealand material, as of April 1, 1987 when legal deposit functions were transferred from the Parliamentary Library to the National Library, our policy became to add to the collection all serials in scope for the National Bibliography, all serials to which ISSNs have been assigned, and all titles indexed by Index New Zealand (INNZ). A formal collection development policy is in the developmental stage and will be discussed with other libraries.

Reference Services

Prior to 1 July 1987 the National Library was housed in fourteen buildings scattered all over Wellington and very limited reference services and public access to collections could be provided. The opening of a new building has enabled the National Library to establish a new public Information Service which utilises new technologies in order to become "the finest general reference library in the country," as was envisaged by Osborn when he surveyed the New Zealand scene in 1960.

In the new building the bulk of the National Library's collections, with the exception of reference material in daily use, is stored in closed stacks on 120 kilometres of mobile compact shelving in extensive basement areas of both the National Library and adjacent State Services Commission buildings. Strategically located among the stacks are work areas for retrieval staff. The stacks are physically distant from the public reference areas where items may be requested for use in one of the reading rooms.

In order for the Information Service to delivery requested items to the public 'on demand' from stack areas two floors below, it was necessary to develop new technology in the form of electronic message switching, and use existing technology, the telelift, to meet our performance standard of a 10-15 minute turnaround time for 90% of all public requests. The use of these technologies is discussed in detail below.

Reference services for serial publications are available from three service points. The Information Service on the ground floor is the first level of reference service in all subject areas including New Zealand. Based on the strengths of the general collections and the Reference Collection of the National Library as well as on the expertise of specialist staff, the Information Service provides bibliographic and research support to individuals and libraries. It acts as a point of introduction and referral to specialised areas for users not familiar with the National Library. The National Library's Reference Collection which contains national and subject bibliographies and is the most comprehensive in New Zealand, is available for consultation on open access shelves. The Reference Collection includes a separate New Zealand Studies Collection. This collection of standard New Zealand sources satisfies the majority of general enquiries on New Zealand subjects, historical and current, thus preserving the Turnbull copies of last resort from excessive use.

Information Service staff handle all general reference enquiries initially, and deal with enquiries that require consultation of both monographs and serials. Specific serials enquiries are referred to the Serials Reading room, a specialised section of the Information Service which is located on the lower ground floor. The Serials Reading Room is responsible for the current newspaper service and the provision of service to the microform collection. Users are referred here if they need to consult more than one serial, wish to examine a long run of serial titles,

require bibliographic information about serials, or want to see current domestic and overseas newspapers. This reading room's physical proximity to the stacks and the microform storage room is an advantage, particularly when long runs must be retrieved.

Access to Collections

Access to the National Serials Collection is through a number of online and offline indexes and bibliographies. Terminals have been installed behind the reference desk itself and in a cluster of computer workstations in the reference area to enable staff to conduct online searches during the reference interview. The main online reference tools for New Zealand serials are NZBN, the New Zealand Bibliographic Network, and Kiwinet, the National Library's online information retrieval service. Both are information services run from the National Library's mainframe and administered by the National Library's NZBN Division, but the similarity ends there as each is a separate product with its own purpose and unique characteristics.

NZBN uses software developed by the Western Library Network (WLN) and is a bibliographic utility, used almost exclusively by libraries. The database is created by loading cataloguing data from national agencies such as the Library of Congress and the British Library and also by original cataloguing and information on the location of copies in New Zealand from NZBN participants. Reference staff use NZBN to bibliographically verify and locate holdings information for monographs-in-series and some serials.

There are limitations in using NZBN to search for full serial records.

Kiwinet is the new national online information resource which uses BRS/Search software to host a variety of databases from bibliographic citation databases to factual or directory databases to full text databases with the emphasis being on New Zealand information. The databases Kiwinet hosts are created by other organisations (or other parts of the National Library) and Kiwinet's role is to make those databases accessible to New Zealanders and to support the information users. A growing number of companies, institutions, libraries and private individuals are joining Kiwinet. There are three bibliographic databases on Kiwinet which are particularly useful for serials reference work: INNZ, NEWZINDEX, and FIND.

INNZ is a large bibliographic database which gives users access to the contents of journals, theses, reports, monographs, and conference papers published in or about New Zealand and the South Pacific. Established in December 1986, INNZ is a replacement for two previously published indexes, the New Zealand Social Research Abstracts and the Index to New Zealand Periodicals. The subjects covered by INNZ include general interest material, current affairs, social research, the arts and the humanities. Records contain bibliographic details and abstracts. INNZ uses desciptors from the Australian Public Affairs Information Service (APPAIS) Thesaurus supplemented by a list of New Zealand subject

terms. Searching is possible on all significant information, including the abstract. Over 175 serials are indexed and the database is updated each night. INNZ represents a significant advance on the quality and quantity of bibliographic information available in New Zealand. It is a product of the National Library's Collection Management Division.

NEWZINDEX: the monthly index of New Zealand business and commercial publications recently became available online through Kiwinet. NEWZINDEX contains titles augmented by keywords and brief bibliographic citations as well as subject descriptors and company, personal, and product names. References are to the business, financial and manufacturing press, as well as to the National Business Review and the business pages of major daily newspapers. Approximately one hundred serials are indexed and the database if updated monthly.

Once reference staff have used INNZ or NEWZINDEX to locate information on the subject requested by the User, the FIND database is used to verify holdings. FIND is the online version to the Finding List, an interloan tool established by the National Library in 1980 to make reported holdings of serials available to contributing libraries. FIND includes serials, monographic series, serial conferences proceedings, and newspapers held in New Zealand libraries. The database is made up of titles and holdings reported to the National Library by Legal Deposit and by libraries throughout New Zealand. Currently

there are over 122,000 titles in FIND, and the annual growth rate is about 4,000 titles. The database is updated daily. Searches on FIND can be by keywords from the title, related title, issuing body, ISSN, place of publication, or holding library. These features make FIND much easier to use than the Finding List on microfiche, enabling reference staff to quickly verify serial titles, and provide either prompt document delivery services for items held in the National Serials Collection or informed referral to other holding libraries. For current information, reference staff prefer to use Kiwinet databases instead of microfiche or printed versions of INNZ, NEWZINDEX or FIND.

For reference work with non-New Zealand serial publications standard printed indexes and abstracts in the Reference Collection are supplemented by DIALOG and WILSONLINE. The decision about whether to carry out an online search is left to the discretion of individual reference librarians. Where a source is available both in print form and online, the most efficient and effective method of information retrieval is chosen. If a user requests an online search of a particular database, telecommunication charges are passed on. If, when answering a general query, the reference librarian decides an online search is the most appropriate way to access the information needed, costs incurred are not passed on.

For in-depth historical expertise and research involving the need to consult unpublished sources, users are referred to the second

level of reference service in the building, the Alexander Turnbull Library's Reference Service on the first floor. Access to the Turnbull serials collection is largely through a number of unpublished indexes, bibliographies and information files. A subject approach to the collection is unfortunately very limited at this stage. Although the collection is available for public consultation, access is not 'on demand'. Due to its archival nature, technology is not used to deliver material to users. The Turnbull have a batch deliver system four times a day. There are also photocopying restrictions; Turnbull staff do all photocopying, taking into account the condition of items and photocopying restrictions.

Electronic Message-Switching

An electronic message-switching system was developed by the National Library's EDP team in cooperation with Reference and Interloan Services to enable reference staff to transmit public requests electronically to printers located in stack areas. The message-switching system is an in-house software package which is linked to NZBN. The link to NZBN is handled on the mainframe by modifying the NZBN online interface to allow a user to switch to the message switching package by entering the command MES. Message switching may be used as a stand-alone system, in which case the user creates an original request where an NZBN record does not exist, or it may be linked to NZBN, with selected bibliographic and holdings information from the current NZBN search result transferred to the message. The following table shows which MARC fields are transferred to messages:

RID	001
AUTHOR	1XX, namely 100, 110, 111, 130
TITLE	245
EDITION	250
IMPRINT	260
COLLATION	300
SERIES	4XX, namely 400, 410, 411, 490
HOLDINGS	984

Each slip also includes: the date and time of request; name of person requesting the item; and destination. Once messages have been created online they are printed using a batch job, which is submitted automatically to route messages to the destinations specified. Messages are transmitted within three minutes to printers strategically located in stack work areas. This allows a maximum response time (from submitting a request to having the item in hand) of ten minutes. The printing of a message activates the beeper worn by staff rostered to retrieve items. Each night a programme is run which accumulates statistics for the day's messages for books and serials, per workstation, and by broad Dewey class. A weekly report shows the number of messages created in each one hour period during the day, for each location, thus providing information to assist in rostering staff.

Telelift

Once the requested item has been retrieved the next step is to despatch it to the waiting user. At the National Library a

telelift system was installed to move library materials from the basements to public and staff areas on upper floors. The telelift is an automatic conveyor system with electrically powered, self-propelled containers or carriages which travel vertically and horizontally on a network of extruded aluminium tracks. There are twenty-eight telelift stations along eight kilometres of track throughout six floors of the National Library building and the basement of the adjacent State Services Commission building, making it the largest system of its type in the country.

Each carriage has a maximum payload capacity of 10 kg and travels at approximately half a metre per second. Travelling time for a carriage from the most distant stack area of the basement to the ground floor Information Desk totals five minutes (approximately 160 meters horizontal and 12 metres vertical travel). Each carriage can be individually programmed to any destination by adjusting the destination magnets on its side. After placing the requested item into a padded envelope for protection in transit and then into the carriage, a touch of the 'send' button on the control panel quickly despatches the carriage. Once activated onto the track, transfer switches automatically route the carriage to exit at the required destination. On arrival the carriage automatically stops and its arrival is signalled by a red light above the reference desk. The telelift is not used for rare, fragile or folio volumes.

The telelift system has proved to be an efficient, labour saving delivery system as it moves material around the building with a minimum of staff effort, reducing the need to use stairs and lifts. Without the telelift, it was estimated that an additional eleven or twelve extra delivery staff would be required to collect and deliver documents.

The National Library can offer in-person users a prompt 10-15 minute delivery time for serial items as a result of the message-switching system and the use of the telelift. For libraries and other users located outside Wellington, Facsimile Transmission (FAX) technology is increasingly used to transmit urgently required information or copies of documents.

Conclusion

The new technologies described above have had a considerable impact on traditional serial operations. The National Serials Collection, which had been under-utilised because it was largely uncatalogued, is now more accessible to users through the development of comprehensive and current indexing available online through Kiwinet. The ease of locating information using enhanced BRS/search software, keyword access, and up-to-date holdings information have resulted in an increase of interloan requests, and increased accuracy of requests. Keyword access to FIND in particular as enabled more requests to be identified than was possible with the alphabetical list on microfiche, thus

speeding up the interloan process. The number of urgent interloans processed is steadily rising due to the efficiency of FAX transmission.

The prompt delivery times made possible by use of message switching and the telelift have resulted in a growing demand for reference services despite little promotion. The Serials Reference Service is experiencing heavy demands; enquiries have increased by 200% since the service opened to the public a year ago and the small reading room is filled to capacity every noon hour. Retrieving large numbers of periodical issues for reading room use and reshelving them is causing a strain on staff who must balancer answering public requests on demand with maintaining a 48-hour turnaround time for processing interloan requests. Recently the position of shelver was added to the Serials Unit to ensure that backlogs of shelving do not build up.

In terms of acquisition, being open to the public has meant that the National Library has had to become responsive to public demands as well as interloan demands. Unsatisfied requests for titles not held are carefully monitored and considered when Serials Librarians make recommendations for the placing of new subscriptions, or the purchasing of new monographs-in-series.

The establishment of a reference service and the development of new in-house technologies to assist in providing effective reference service has resulted not only in greater communication

and cooperation between Divisions of the National Library but in a wider range of services being made available to other libraries and outside users.

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Division: Collection & Services

Section/RT: Government Information and Official Publications

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The Application of New Technologies to the Dissemination of Governmental Information. The PAHO CD-Rom Project

by

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The use of new technologies to disseminate governmental information. The PAHO CD-ROM Project.

The PAHO CD_ROM Project is presented as a tested methodology for governmental institutions to disseminate its information. Some considerations are made about the state of the dissemination of governmental information in Latin American countries.

1 - Introduction

In developed countries an important and controvertial issue is the problem of dissemination of governmental information. The appearance of a new and strong information industry brings the issue to decision makers.

In third world countries the information systems are maintained with governmental bodies. While there are a few places begining to hold non governmental information, there is no past history for a private information industry in the Latin American countries. The collection, treatment, and dissemination of the information in areas related to Science and Technology is undertaken by governmental institutions.

The government keeps the information in a way unfeasible to its dissemination. The channels used for the dissemination of governmental information needs organization and the government has few adequate means of making the information acessible to the user in the right form within a reasonable cost.

It is inevitable that in the macro planning of these systems the dissemination of information is underestimated

Costs contribute strongly to this position of governmental institutions once the governmental systems usually don't sell information. There are many examples of cases where collected and treated information is not easily acesible to the user.

In developing countries the information industry is not yet mature enough to provide alternative conditions of dissemination.

The appearence of new information technologies changes this process by making dissemination mechanisms more acessible within reasonable costs. Governmental information systems see this as an opportunity to increase the dissemination process through the use of new information technologies.

- The PAHO CD-ROM Project

2.1 - The PAHO Information System

The Pan American Health Organization (PAHO), located in Washington, DC, is a specialized international agency dedicated to health in the region of the Americas. It is also the regional office for the Americas of the World Health Organization (WHO) of the United Nations.

Among its centers PAHO supports the Latin American Health Sciences Information Center, formely the Regional Library of Medicine (BIREME), located in Sao Paulo, Brazil. Established as the focal point of a regional network of documentation centers on health,PAHO centers are located in all Latin American and Caribbean countries.

Since its creation 20 years ago, BIREME has been making efforts to built a regional bibliographic information dedicated to public health. For this purpose, BIREME coordinates a network of libraries and documentation centers on health, located in all Latin American and Caribbean countries.

The bibliographic records generated at the many cooperating centers, and by BIREME itself are stored in a database called LILACS (Literature Latinoamericana en Ciencias de la Salud). In 1986 LILACS had 12,000 records contrasting with today's 60,000. Since 1987 it has grown by some 15,000 per year.

Another PAHO center with a similar role is the Centro Panamericano de Ingenieria Sanitaria y Ciencias del Ambiente (CEPIS) located in Lima, Peru. Its REPIDISCA database specializes in sanitary engineering and environmental sciences.

Some years ago, BIREME and CEPIS started to descentralize the collection and processing of health literature generated in the region, using a shared common methodology. Today they are collectivelly linked to more than 700 institutions throughout the American continent.

Both networks function in a similar manner. As a basic strategy, BIREME and CEPIS seek first to sign an agreement with a country in the region to establish a national coordinating center which serves as the link between PAHO centers and the national information system. Each national center established in this manner coordinates a group of several smaller documentation centers across its own country and collects the bibliographic references produced locally. These references correspond to the scientific and technical publications generated by the institutions that works in health area in the countries.

In this way, it is possible to combine the incentive for the creation of a comprehensive national bibliographic information system on health, and at the same time successfully descentralize the production of bibliographic references.

Thus far Brazil, Colombia, Costa Rica, Cuba, Chile, Honduras,

Mexico, Nicaragua, Paraguay, Peru, Uruguay and Venezuela rely on national coordinating centers.

For the other countries in the region yet to sign an agreement with PAHO, BIREME and CEPIS now produce the bibliographic references based on the original documents sent by the country's institutions. In some cases, depending on local capability, an institution may be invited to generate its own references.

For Latin America, the usefulness of regional data bases, such as LILACS and REPIDISCA, stems from the fact that they are sources of bibliographic information on health intimately adjusted to the problems affecting the region. These databases provide more appropriate information about subjects no longer addressed by researchers in the more developed countries and also disseminate non-conventional documents resultant from research done by governmental institutions that otherwise would not be acessed in the region or elsewhere.

In PAHO Headquaters, PAHO Library recently initiated a new phase with the creation of PAHO/ISIS database. This database follows the methodology already available and created by the Latin American and Caribbean Health Science Information Center - BIREME, and uses the software MICROISIS developed by UNESCO. PAHO Library coordinates the efforts for its creation.

PAHO/ISIS includes all non conventional documents produced by PAHO, the documents from World Health Organization - WHO, documents from International Organizations related with Health Sciences and Public Health, and the PAHO Library collection.

The main focus of this database, however is the governmental information produced by the Latin American countries once many times this information is not well organized inside the country.

Related to this kind of documents PAHO Library and BIREME are making a big effort in the collection of this information trying also to influence some countries of the necessity for the organization of their own national information. The institutions involved in this effort are the Health Ministries ,the public enterprises , the universities and research institutions.

2.2 - The use of CD-ROM to disseminate information

From its conception the model chosen by BIREME was a centralized one, that is, the information is collected locally and then sent to BIREME where it is processed. This model, adopted by many developing countries, is strongly based on communication facilities, and in storage capacity.

Mainly because of the processing speed required to support database searches and data communications concurrently, the power and the cost of the computer's central processing unit also increases significantly.

The requirement of permanent availability combined with the need for a good response time throughout the network, demands not only a redundant system with power to spare, but also a very well qualified team of technicians to support it. Therefore, an on-line data base system requires a large initial investment and on-going expensive maintenance capabilities which will adversely influence the cost of the rendered service.

The return on investment for this type of system is only ensured by a very large market of information consumers capable of paying for the services.

In the developed countries, the telecommunications cost involved in the process is only taken into consideration in the determination of the service pricing policies.

In the third world however, the cost of the telecommunication component is not only a considerable share in the information consumers's total expenditures, but it is also at the core of most of the problems affecting the on-line model under consideration.

For a user to gain access to a data base, the cost of the on-line services consists of an up front expense for a terminal plus the initial registration fee, if any.

Assuming an available telephone line at the user's location, the day to day usage costs of an on-line database break down into the per access fee, the connect time, and the telephone bill, charged in relation to the duration of the call.

In the less developed countries the public telecommunication systems are very expensive when compared with the local cost of living. Furthermore, few telecommunication systems offer reasonable quality.

This undeniable fact generates several insurmountable obstacles for the establishment and growth of a market of information consumers in third world countries and provides a burden for the information systems (in big majority located in governmental bodies):

1 - Due to the high costs involved, the educational sector of the country makes minimal, if any, use of on-line databases. Therefore, the educated population, the potential audience for on-line databases, is not at all familiar with the use of information in this form. This situation results in general lack of perception of the importance of information as an essential resource for intelligent work. Furthermore, it also results in a lack of user experience in handling remote on-line databases.Then, when the demand for information becomes inevitable, the lack of experience of these infrequent users will make each database search take much longer than normally expected. This increases the communications share of the total cost of the operation.

2 - The absence of a large market for information and the high cost imposed upon individual consumers results in an environment where only a few institutions supported by governments are able to act both as providers and users of on-line databases. It is rare to find private information suppliers or individual users of databases in third world countries.

3 - It is well known that the governments in less developed countries may occasionally find funds to make large investments, but that there will never be sufficient resources to maintain them. If a government, as an information supplier, can build a useful on-line database financed through an external loan or an international grant, it seldom has the means to maintain the system properly.

In the role of institutional user, a government agency may find ways to buy terminals, but it is almost certain that there will be insufficient money to pay for the growing telephone bills, specially if they involve international calls to remote databases.

In summary, in most of the less developed countries:

- the on-line database services, if they exist at all, are built by the country's government and the information precariously collected, treated, and disseminated.

- the on-line database users, form a small, usually inexperienced group, mainly supported by the country's government, and they face great difficulties in paying for the exagerated communication costs.

- consequently, to disseminate governmental information in less developed countries as broadly as desired while avoiding the difficulties discussed thus far, it is important to rely upon a technology which requires a moderate initial investment and which will demand minimal further maintenance costs. In other words, this technology must overcome the need for public telecommunication networks as links between the databases and its users.

In order to satisfy the requirements set forth to avoid problems created by the on-line database model in third world countries, the use of non-erasable optical data storage accessed by small personal computers is seen as a strong dissemination vehicle.

This media offers an effective way to disseminate large amounts of stable information, at reasonable low costs. Actually, stable bibliographic reference data bases, stored in CD-ROM's for example, can be distributed easily through an array of geographically dispersed centers by mail. This opens a wide range of possibilities for knowledge dissemination, without the support of telecommunication systems. CD-ROM disks are small, lightweight, and almost indestructible. A portable personal computer equipped with a small CD-ROM reader could provide massive amounts of information virtually anywhere.

By considering the storage capacity of a CD-ROM it is clear that

a small minicomputer or even a large microcomputer can manage a database of similar size only if it has large enough disk space.

Of course, the central site computer should have a storage capacity greater than the 550 megabytes held by a single CD-ROM disk as it is will be involved in many operations besides performing searches. Since

5-7remote data communications are not required, the response time for data base operations is not stringent. In this sense, the central computer power may be a fraction of that employed to handle the same database in an on-line environment.

Consequently,due to greater operational simplicity and less demanding requirements for speed, the maintenance cost is much less. Therefore, if only the central facility is taken into account, the CD-ROM model will demand a smaller initial investment and less expensive maintenance capabilities. As the price of the information ready for dissemination and delivery is directly proportional to the overall operating cost of the central site, the amount charged to the users can be significantly reduced.

The most important change provided by the use of the CD-ROM is a change in the conception of the model of the information systems themselves once the user becomes independent of the communication infrastructure. When we consider the question of governmental information and its dissemination, the use of the CD-ROM presents many advantages. It is processed closed to the producer and disseminated at a lost cost to larger amounts of users.

Another component for consideration in the user's total cost imposed by the CD-ROM model comes from the retrieval software package necessary to make the information available. As the CD-ROM can not be modified, the retrieval software is simpler than any conventional database management system (DBMS). Furthermore, as it handles only well defined data structures, a single program can be developed without the flexibility expected of a traditional DBMS.

Additionally, instead of the telecommunication costs of the traditional online database model, the CD-ROM model only costs the expenses involved in production and distribution.

3 - Conclusions

CD-ROM is a viable media to deliver information in high volume to places where the public telecommunications networks are expensive, unreliable, or nonexistent. Considering the situation in the third world, this emerging technology represents a breakthrough. For the first time it is possible to disseminate needed stable information at reasonable low costs.

CD-rom requires smaller initial investments and extremely low maintenance costs. After installation of a Cd-ROM reader to a personal computer institutions will gain the capability to locally access almost

every large database available in the market. Some facts worth mentioning gained through the experience of the PAHO CD-ROM Project so far are:

- unless the system's payoff is large, it is important to perform the data preparation and premastering in house, because this may turn out to be the most expensive part of the operation if contracted for externally;

- it is not only possible, but strongly recommended that similar governmental and or international institutions develop cooperative CD-ROM disks. Unless the main database is large, it is usually possible to share the 550 megabytes capacity among several different databases. The production cost will be the same to produce a CD-ROM, regardless of the space used;

- cooperative CD-ROM's will augment the compatibility efforts between institutions or agencies sharing similar kinds of information;

- therefore the results of the application of the CD-ROM can surprisingly precipitated a long sought standardization of information systems formats and methodologies throughout the organizations involved;

- it forces the replacement of the headquarter's bibliographic references database;

- because of the low cost governmental agencies see the CD-ROM use as a feasible mechanism of dissemination of information.

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New Technologies and Government Publications

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New Technologies and Government Publications

INTRODUCTION

As the nation's factfinder, the Bureau of the Census provides the government, academia, private organizations, and the general public with a myriad of statistical information about subjects ranging from demographics to foreign trade. The agency has always been directly involved in the dissemination of its collected statistics and a leader in electronic data dissemination. For example, in 1965 we released computer tapes to the public containing data from the 1960 Census of Population and Housing. This pioneering tradition continues to the present day as we continue to explore new innovative, but practical, means of distributing the results of our many surveys and censuses. For example, this past June the Census Bureau announced plans to release data from the 1987 Economic and Agriculture Censuses and the 1990 Decennial Census on CD-ROM, in addition to the media on which they were released in the past.

This paper provides an overview of Census Bureau activities in electronic data dissemination as they might possibly affect our library user community. After a description of our current activities, the paper contains a discussion of our plans for new electronic data dissemination technologies, especially our plans for CD-ROM. Since CD-ROM appears that it will be an important part of future publication programs, the paper describes in detail our experiences in evaluating the CD-ROM medium and specific plans for its future use. The paper concludes with a discussion of related activities in the Federal government which will affect the direction of future Census Bureau electronic data dissemination efforts.

CURRENT ACTIVITIES

In contrast with some Federal organizations, the Bureau of the Census has always been directly involved with distributing its statistical information. Census prints 2,500 to 4,500 publications a year with sales handled through the Government Printing Office. The Census Bureau handles the distribution and sales of all other media, however, selling directly to the statistics user. These include microfiche, computer printouts, slides, computer tapes, flexible diskettes and on-line services. The following discussion concerns the latter three.

Computer Tape

In 1965 we began selling computer tapes which contained a sample of the data collected for the 1960 Census of Population and Housing. The public reaction to these tapes was so positive that we subsequently developed a fairly comprehensive tape program for distribution of the 1970 Census of Population and Housing. This program was expanded for the 1980 Census; increased sales reflected the increase in the computing capability of statistics users.

There are two types of public-use data which are provided on tapes -- summary statistics and microdata. Summary statistics are data which are summed and presented in tabular form. Because the data are aggregated, we can provide statistics for very small geographic areas without jeopardizing confidentiality. Summary statistics must be used to obtain data for small areas. If the data are not tabulated precisely as the user would like, they must "make do" with what is there.

The other type of data, microdata, are samples of actual individual census records. However, to insure that there is absolutely no potential for identification of any individual or residence, all geographic identification is restricted to areas of 100,000 or more. Users who are dealing with geographic areas of this size have the option of preparing their own tables, but still must use some discretion concerning the size of the population being analyzed for a particular level of geography. While microdata samples are very popular, especially with academic users, they may not be for the user with a limited computer budget.

Data on computer tape offer many advantages. It is an efficient means for providing a lot of data inexpensively. Current prices are $175 for a tape reel written at 6250 bits per inch. In addition, data are usually available in more detail (both geographic and subject-matter) on the tapes than in publications. Tapes are also the best medium for users planning to do large amounts of computerized statistical analysis since the data are already in a machine readable format. However, it requires technical skill on the part of the user, as well as an investment in both hardware and software to use the tapes effectively. Furthermore, most users find that attempting to process the tapes on a microcomputer is impractical so that a large scale computer is required.

Although tapes represent our primary means of nonprinted data dissemination, the tape sales program is modest by private industry standards. In 1987 (calendar year) we had 841 orders for about $290,000 worth of tapes. These sales do not accurately

depict the extent of Census electronic data use because of a very large secondary distribution by private firms and other governmental organizations. Since we are not allowed to copywrite our products, we have discovered that nearly all business users of Census data do not obtain Census information from Census sources, but from these secondary sources who "repackage" Census statistics into high "value added" products.

On-Line (CENDATA)

The Census Bureau began its own on-line information service called CENDATA in 1984. This service is currently available through DIALOG Information Services and COMPUSERVE, two of the largest private data vendors. The information provided through this service is primarily text, and includes press releases, area profiles, and information on product availability. In the four years since its inception, CENDATA has grown rapidly to its present size of about 10 megabytes. This is a small "data base" relative to the total Census data holdings on computer tape. For example, it is less than one-tenth of the size of one of our most frequently ordered decennial census tape files -- the Summary Tape File 1A (STF1A) for California. This tape is only one of over 1,100 released to the public from the 1980 Decennial Census.

On-Line (Bulletin Boards)

An increasingly popular means of electronic data dissemination is the microcomputer electronic bulletin board (EBB). In this environment the typical user dials a Census microcomputer directly from his/her own microcomputer and downloads "flat", standard ASCII SDF data files. The EBBs are only appropriate for small data files but, like CENDATA, they provide instantaneous access to Census produced data. Currently, there are two EBBs at Census available to our data users -- one for the participants in the State Data Center program and one for participants in the Federal-State Cooperative Estimates Program. Most of the CENDATA entries are also included in the State Data Center bulletin board. Descriptions of these two programs are available from the Bureau of the Census (Customer Services) for those persons interested.

Flexible Diskettes

In early 1984, the Census Bureau began to offer data from the County and City Data Book and County Business Patterns on diskette. We currently offer half a dozen products for sale which are extracts of computer tape files but designed specifically for flexible diskettes. In the fall of 1986 we also announced a tape-to-diskette downloading service in which any

tape we have in our inventory will be downloaded directly to diskette. Overall, sales of flexible diskettes have been sluggish but constantly increasing. In 1987 (calendar year) we had 146 orders for about $31,000 worth of diskettes. In addition, diskettes sales of the County and City Data Book have surpassed tape sales. Clearly an increasing number of users are ready to process their data on microcomputers.

In general, flexible diskettes do not excite us as a means for data dissemination and we regard them only as a possible secondary medium. Their capacity is simply too limited for many of our files, most of which are contained on more than one high density tape (one tape contains 400 to 500 low density diskettes worth of information). If a file is small enough to be considered for a flexible diskette, then it is probably more efficiently distributed via CENDATA or the EBB. This limited storage capability probably explains the modest interest by our user community in this medium. The diskettes, however, do provide an option for those persons without communications capability on their microcomputers.

SUMMARY OF FUTURE ACTIVITIES

Although we anticipate continuing all current electronic data dissemination activities, the Bureau of the Census is also evaluating several areas for possible future electronic data products. These investigations are driven by the major statistical programs being planned by Census. The first of these is the 1987 round of Economic and Agriculture Censuses, which will be tabulated and distributed in late 1988, 1989, and 1990. The second is the 1990 Census of Population and Housing which will be disseminated from 1991 to 1993.

Currently, we envision our future programs utilizing six types of dissemination media and four of these will be electronic. We expect most of the dissemination activity to involve our three most currently utilized product lines -- printed publications, computer tapes and microfiche. We also expect to disseminate information on flexible diskettes, via on-line access and on CD-ROM.

Flexible Diskettes

Flexible diskette is a medium that we will continue to utilize (and develop) even though the storage capacity is currently too small to be of very much interest to users. We like the new tape-to-diskette downloading service because it minimizes our investment in producing flexible diskette products. We will

consider building on this service for future dissemination, but we must remember that a statistical file small enough to be practical on flexible diskettes could probably be more efficiently distributed via on-line access. It is possible that on-line services will eliminate any need for dissemination of data by flexible diskettes in the near future.

A possible exception to this rule are diskette products that involve data and software combined in a "turn key" application. Although we do not plan to develop any future general purpose software products for public use, we will be developing such self-contained applications for use on our IBM microcomputers for our exhibit program. We may disseminate these products on a "caveat emptor" basis -- we will simply provide copies of what "runs" on our equipment. If the purchaser cannot get the "exhibit demo" to work on his microcomputer then we will not be in a position to provide any support. These applications are designed more for flash than substance (they contain limited data), but we anticipate that many of our diskette orders would be for such products.

On-Line Access

As discussed above, the Census Bureau's current on-line service is CENDATA. In the future, we will expand this service in terms of number and size of statistical tables. As mentioned above, a number of small data files appropriate for release on flexible diskette might be released through this service.

We are also currently evaluating a possible new service designed more for the downloading of data files (numeric) with little (or no) accompanying text. This new service would augment the present "user friendly" CENDATA service with a "high volume" data communications capability.

CENDATA transmits data at relatively slow communication rates--the communication speed is about 1 megabyte per hour (300 bytes per second). Anticipating tremendous increases in transmission speeds (ten fold), we will be experimenting with the delivery of moderate-sized statistical data bases to data vendors and large client organizations via communications systems designed to handle large volumes of data. To distinguish it from CENDATA, we are terming this new concept "Direct Data Downloading of Census Files". While we do not foresee the replacement of high density storage media for data delivery, "Direct Data Downloading of Census Files" could provide a useful adjunct to our current services.

One possible scenario would include minicomputer or "super charged" microcomputers with several high-speed communication

ports, some mass storage, and one or two magnetic tape drives. It would be used as the host to serve one or more data vendors such as DIALOG and COMPUSERVE, and would be used to provide special data transmission service to major client organizations.

We hope to test the technical aspects of this concept this year to the extent that we can decide whether to perform a larger test with files from the 1988 Dress Rehearsal for the 1990 Decennial Census. If user reaction is favorable, our goal will be to provide this capability for some 1990 Decennial Census files.

CD-ROM

CD-ROM (Compact Disk -- Read Only Memory), a type of optical disk, is a recently developed technology for data storage and retrieval. It is a cousin of the audio Compact Disk (CD) being used for home stereos, but is designed for digital data applications, instead of digital audio. The Census Bureau recently evaluated the feasibility of disseminating selected statistical files using this medium, and decided to incorporate CD-ROMs into our publication programs. One of its strong advantages is that it has a large capacity relative to its size. One 4 3/4 inch CD-ROM can hold the contents of 1,600 flexible diskettes or 3 to 4 high density tapes. Since this technology uses a modified audio player as a reader, the price has been rapidly dropping on this requisite peripheral device (currently $400 - $500) -- mirroring the drop in prices on CD audio players. Although a master disk costs $1,500 to $2,000, subsequent copies can be made inexpensively (for about $2.50). Since the CD-ROM reader is a microcomputer peripheral (but can also be configured as a mini/mainframe peripheral), it opens up applications possibilities to the microcomputer user.

We recently have been encouraged by the rapid adoption of this medium by the library community. According to a 1987 survey conducted by Philips and DuPont Optical, over 42% of large, corporate libraries have at least one CD-ROM reader and 11% have more than five readers. In December of 1987, a survey of Federal Depository Libraries conducted by the General Accounting Office estimated that 37% have at least one CD-ROM reader. Although this equipment has been acquired by the libraries for other applications, it can also be used with any Census CD-ROM disc that we create.

The Final Report from the CD-ROM Evaluation Project was released in February of 1988. One of the major recommendations of this report was that the Census Bureau incorporate CD-ROMs into the publication programs of the 1987 Economic and Agriculture Censuses and the 1990 Census of Population and Housing. In June, Census announced that we plan to implement this recommendation -- more details are provided below.

THE CD-ROM EVALUATION PROJECT AND SUBSEQUENT RESEARCH

The CD-ROM Evaluation Project was conducted from January of 1986 until the fall of 1987. As part of this evaluation, the Census Bureau created Test Disc No. 1, one of the first CD-ROM discs containing statistical data, and provided it to nine evaluation sites. They included:

- Census Regional Offices in Boston, Chicago, Denver and New York
- University of California at Berkeley
- University of Georgia (Library)
- Georgia Institute of Technology (Library)
- University of Tennessee (Marketing Department)
- U.S. Department of Agriculture (Economic Research Service)

In June 1987, the U.S. Patent Office asked Census to participate in the pilot project in which they are replacing their on-line CASSIS system (Classification and Search Support Information System) with a CD-ROM based system. As part of the project, Census distributed Test Disc No. 1 to about 30 Patent Office Depository Libraries.

Test Disc No. 1 was created to demonstrate the usefulness of CD-ROM and contained several data files normally released on computer tape. Simple retrieval/display software was written by Census Bureau programmers for users to access one of three data files.

- Agriculture data for counties
  (1982 Census of Agriculture)
  Contains over 3,000 data items from the Census for 3,137 counties. Includes crop data, livestock data, and information on characteristics of farm operators.

- Demographic and housing data for 5 digit ZIP Codes
  (Summary Tape File 3B from the 1980 Census)
  Contains 150 tables providing population and housing data for 37,000 five digit ZIP Codes in the U.S. Includes such statistics as population by age, race, sex, occupation, education and family income. Also, includes data on the characteristics of housing.

- Population estimates (1984) and per capita income (1983) for functioning governmental units
  Contains 1984 estimates of the population for all counties plus about 36,000 subcounty governmental units such as cities. Also includes per capita income estimates for these geographical areas.

Subsequent CD-ROM Research

The major conclusion of the CD-ROM Evaluation Project was that the Census Bureau should adopt this medium for use in dissemination of our statistics. Specific recommendations from the Final Report include:

- CD-ROM should be included as a dissemination media for the 1987 Economic and Agriculture Censuses and the 1990 Census of Population and Housing.
- The Census Bureau should make our CD-ROM discs available to the public.
- Future CD-ROM products should provide users with the ability to display and extract data.
- The Census Bureau should select a statistical program, which releases data on an annual basis (or more frequently) for dissemination on CD-ROM.
- The Census Bureau should begin research into new applications of CD-ROM.

In light of these recommendations, Census began to investigate ways of making our CD-ROM discs easier to use for those users who wanted to use the data for analytical tasks beyond the capability of the Census provided retrieval/display software. Test Disc No. 2 was mastered in April of 1988 as a prototype for discs we plan to create containing data from the 1987 Economic and Agriculture Censuses. Test Disc No. 2 contains:

- Retail Data by ZIP Code
  (1982 Census of Retail Trade)
  Contains data on retail establishments for 31,000 Zip Codes. Also, cross-classifies establishments by number of employees, sales size class, payroll, and 53 kinds of businesses.
- Agricultural data for counties
  (1982 Census of Agriculture)
  Same data file as included on Test Disc No. 1, but in a different format -- as explained below.

Important Characteristics of Census Discs

Both Test Disc No. 1 and Test Disc No. 2 have been very successfully used in a user environment characterized by very diverse microcomputer equipment. Each disc is sold for $125 by the Census Bureau (Customer Services Branch).

Both discs are manufactured to the "High Sierra" standard. This means that they can be read on any commercially available CD-ROM drive on any IBM PC compatible computer using the CD-ROM Extensions for the MS/DOS operating system.

Census has programmed "simple" retrieval/display software which is included (complimentary) with each order. The Evaluation Project showed that this simple approach to retrieval software was very successful. Not only did these programs work on every IBM compatible on which they were tried, but they were also very popular with users since they were so easy to learn. (No user's manual is required.)

Test Disc No. 2 -- A Special Prototype

With Test Disc No. 2, Census further extended the standardization of our discs by adopting dBASE III as an applications format. Although not an official standard, we considered dBASE III to be a "de facto" standard since it is the most widely used data base package on microcomputers. This format can also be "imported" by a number of other popular software packages, including most other data base packages. This standard means that users who desire more analytical capability that can be provided by the "simple" Census software can use dBASE III directly with Test Disc No. 2. They can also use a number of other software packages including several dBASE III "clones", and at least one add-in package for Lotus 1-2-3.

Another significant achievement associated with Test Disc No. 2 concerns its distribution. Not only is Census selling it to the general public and disseminating it to Census affiliated organizations (Census Depository Libraries and State Data Centers), but Census has also arranged with the Government Printing Office to send it to the 1400 Federal Depository Libraries. By establishing these dissemination channels now, Census is insuring that there will be an established means of disseminating statistical information from future important statistical programs.

Characteristics of Census Produced Software

As mentioned above, the complimentary software provided by Census can be characterized as "simple" in that it is menu

driven and has limited retrieval/display capabilities. The user interface walks through a retrieval in the same fashion that a user uses a publication.

- An area is selected.
- A statistical table (or kind of business) is selected.
- Data is displayed on the screen or printer.

The software is programmed for a library or reference room environment. The interactive programs are "self documenting" and no user's manual is required.

It is also important to note what the software does not do:

- No statistical manipulation capability
- No Boolean retrieval capability
- No extraction capability
- No mapping or other graphics capability

The software is intentionally limited in capability so that it will be easy to use and highly transportable between computers. For Test Disc No. 2, users wanting to do more complex analysis can use dBASE III, or some other microcomputer package, that accepts data in dBASE III format. These users will need to refer to the technical documentation provided with each order for the discs.

CURRENT PLANS FOR DATA ON CD-ROM

Census has begun to incorporate CD-ROM into publication programs for important statistical series. Plans are almost final for CD-ROMs from the 1987 Economic and Agriculture Censuses and the 1990 Census of Population and Housing. The Economic and Agriculture Censuses are taken every five years and are an important means for the Federal government to collect information on the economic activity of the basic operating units of the economy. The Census of Population and Housing is taken every 10 years and is required by the Constitution for reapportioning the Congress. It is also the government's primary means of collecting demographic information on the nation's population and characteristics of the nation's housing.

The 1987 Economic and Agriculture Censuses

For the 1987 Economic Censuses and the 1987 Census of Agriculture, the Census Bureau has decided that almost all data that is normally released on computer tape will also be released on CD-ROM as an additional medium. All CD-ROMs will be in a dBASE III format. These censuses include:

- Census of Retail Trade
- Census of Wholesale Trade
- Census of Service Industries
- Census of Transportation
- Census of Manufactures
- Census of Mineral Industries
- Census of Construction Industries
- The Census of Agriculture is also collected, tabulated, and released at the same time as the Economic Censuses.

In general, the Economic and Agriculture Censuses collect information about activity in the sectors of the economy to which they pertain.

For example, several key statistics are collected and tabulated for all industries covered in the censuses.

- Number of establishments
- Number of employees
- Payroll
- Sales, receipts or value of shipments or construction work.

Other items vary from sector to sector depending on the characteristics of the economic activity. More detail on statistics from the 1987 Economic and Agriculture Censuses is provided in A Preview of the 1987 Economic Censuses and A Preview of the 1987 Agriculture Census, available free from Customer Services Branch (at Census).

As currently planned, the publication program for the Economic and Agriculture Censuses includes three to four CD-ROMs. The

Agriculture Census will be on two CD-ROMs while the Economic Censuses will be combined on one (possibly two) CD-ROMs. Since the Economic Censuses can be accommodated on one or two CD-ROMs, these discs will be reissued once every two to three months, with the CD-ROM including all files available to that point. The final release will consolidate the data onto as few discs as possible in late 1990. The Agriculture Census discs include one containing county level data (as well as historical data for three censuses) and one containing state leveldata. Electronic data products and target dates (for final release) are listed in the table below.

Schedule for Electronic Products from the
1987 Economic and Agriculture Censuses

Census and Title	Target Date
Agriculture	
County Level	Late 1989
State Level	Late 1989
Retail Trade	
Geographic Area	Late 1989
Nonemployer Statistics	Late 1989
Special: Selected Statistics	Early 1990
Merchandise Line Sales	Mid 1990
ZIP Codes	Mid 1990
Wholesale Trade	
Geographic Area	Late 1989
Commodity Line Sales	Late 1990
Service Industry	
Geographic Area	Late 1989
Nonemployer Statistics	Late 1989
ZIP Codes	Mid 1990
Transportation	
Truck Inventory and Use Survey	Mid 1989
Geographic Area Series	Late 1989
Manufactures	
Preliminary Industry Series	Mid 1989
Industry Series	Early 1990
Geographic Area Series	Mid 1990
Location of Manufacturing Plants	Late 1990
Mineral Industries	
Industry and Area Series	Mid 1990
Construction Industries	
Industry Series	Mid 1990
Geographic Area Series	Mid 1990

As mentioned above, Economic Censuses' "CD-ROMs" will be reissued as these files are released. The first is expected early in 1989 and the final late in 1990.

The 1990 Census of Population and Housing

Census has also decided to use the CD-ROM medium for products from the 1990 Census of Population and Housing. Although specific CD-ROM products have not been selected, we have decided to release the most popular tape files on CD-ROM in addition to computer tape.

Plans for decennial tape files have been announced and, in general, they are very similar to the 1980 tape files. They include tapes for political redistricting purposes, and tapes providing detailed demographic and housing data tables for many geographical areas including blocks, block groups, census tracts, minor civil divisions, cities, counties, and ZIP Codes. In total there will be between 1,100 and 1,500 data tapes similar to 1980. Census is evaluating which of the decennial tapes will be on CD-ROM, but several decisions have been made:

- There will be several statistical files on CD-ROM. At least 20 to 30 CD-ROM discs will be released. In light of the 1980 dissemination, these will certainly include the redistricting data, data files for block groups (and census tracts) and ZIP Codes.

- Individual CD-ROMs will only contain one tape series data file (e.g. discs containing the redistricting data tape series will not include other data series), and will be organized by state on each disc. Several states (in some cases all the states for a data file) will be on one disc.

- These CD-ROMs will be released from 1991 (mid) to late 1993.

More details concerning our plans will be released this fall.

RELATED ACTIVITIES OF INTEREST

There are four major activities beyond the purview of the Census Bureau that may affect how Federal electronic information is disseminated in the future. Without going into a lot of detail, these projects are mentioned here simply as significant activity which should be of interest to the statistical user community.

For several years the Census Bureau served on the Ad Hoc Committee on Depository Library Access to Federal Automated Data Bases. In April of 1987 this committee proposed to the Joint Committee on Printing (JCP) several pilot projects to be "located" in a number of Federal Depository Libraries dispersed across the country. The proposed projects involved a number of CD-ROM and on-line data bases. At that time the JCP passed a resolution urging the Government Printing Office (GPO) to implement a series of pilot projects to test the feasibility and practicality of disseminating government publications to depository libraries in electronic format. This past July, the JCP and the GPO released a plan which included a number of projects to test this proposal. One of the projects in the plan is the dissemination of Test Disc No. 2.

The Office of Technology Assessment (OTA), Communication and Information Technologies Program started the Federal Information Dissemination Project in the fall of 1986. This office, which reports directly to the Congress, is addressing the lack of Congressional oversight and guidelines for Federal agencies with regard to information dissemination. OTA is releasing the final report from this project, Informing the Nation, in late September or early October.

The Office of Management and Budget (OMB) has also been active with regard to Federal information dissemination. In 1986 this executive oversight agency issued Circular A-130, which deals with information issues. Although the circular has many components, three of them directly affect electronic dissemination of Federal data. Briefly they are:

1). Federal agencies shall not initiate, nor discontinue, any significant information service without notifying the public of their intentions.

2). Any new Federal activity shall not compete with any existing private industry information service, or any future service that can be anticipated if the government does not "interfere."

3). Agencies should recover the costs of information dissemination.

Obviously there are a lot of questions about how this directive will be implemented. We feel that this is a landmark document, and our experience over time will suggest what further Census Bureau policies are needed.

OMB has also encouraged agencies to recover more programmatic costs through increased cost recovery in the sale of our information products. This will translate into increased user fees to the public for the use of Federal information, and increased prices for information products.

CONCLUSION

Since 1965 the U.S. Bureau of the Census has produced statistical products in electronic form. Although we anticipate that computer tapes will remain our most efficient distribution medium for the foreseeable future, we are continuing to develop new and innovative ways of electronic dissemination of statistical data--including CD-ROM and on-line access.

END

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